

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

PURPOSE OF THE HCBS WAIVER PROGRAM

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

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

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

1. Request Information

- A. The State of Virginia requests approval for an amendment to the following Medicaid home and community-based services waiver approved under authority of §1915(c) of the Social Security Act.
- B. **Program Title:**
Commonwealth Coordinated Care Plus
- C. **Waiver Number:** VA.0321
Original Base Waiver Number: VA.0321.9
- D. **Amendment Number:** VA.0321.R04.01
- E. **Proposed Effective Date:** (mm/dd/yy)
07/01/17
- Approved Effective Date:** 07/01/17
- Approved Effective Date of Waiver being Amended:** 07/01/17

2. Purpose(s) of Amendment

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

The purpose of this amendment is to make technical correction in the service limit section of environmental modifications and assistive technology. Unintended language has been removed that previously indicated that private duty nursing is required in order to utilize the service.

3. Nature of the Amendment

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

Component of the Approved Waiver	Subsection(s)
<input type="checkbox"/> Waiver Application	
<input type="checkbox"/> Appendix A – Waiver Administration and Operation	
<input type="checkbox"/> Appendix B – Participant Access and Eligibility	
<input checked="" type="checkbox"/> Appendix C – Participant Services	C1
<input type="checkbox"/> Appendix D – Participant Centered Service Planning and Delivery	
<input type="checkbox"/> Appendix E – Participant Direction of Services	
<input type="checkbox"/> Appendix F – Participant Rights	
<input type="checkbox"/> Appendix G – Participant Safeguards	
<input type="checkbox"/> Appendix H	
<input type="checkbox"/> Appendix I – Financial Accountability	
<input type="checkbox"/> Appendix J – Cost-Neutrality Demonstration	

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

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

Specify:

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

1. Request Information (1 of 3)

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

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

Commonwealth Coordinated Care Plus

C. Type of Request: amendment

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

☐ 3 years ☒ 5 years

Original Base Waiver Number: VA.0321

Waiver Number: VA.0321.R04.01

Draft ID: VA.004.04.01

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

Regular Waiver

E. Proposed Effective Date of Waiver being Amended: 07/01/17

Approved Effective Date of Waiver being Amended: 07/01/17

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:

An individual must be chronically ill or severely impaired and require both a medical device to compensate for the loss of a vital body function and substantial ongoing nursing care to avert death or further disability. The requirement for a medical device to compensate for the loss of a vital body function may include one or more of the following categories.

- * Individuals dependent at least part of each day on mechanical ventilators, and
- * Individuals meeting specialized tracheotomy criteria.

The need for substantial and ongoing nursing is determined by the score an individual receives on the Objective Scoring Tool. Individuals must score a minimum 50 in the Technology section of the tool to receive services.

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

☒ **Nursing Facility**

Select applicable level of care

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

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

- 1) Nursing facility level of care; and
- 2) Specialized nursing facility level of care

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

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

1. Request Information (3 of 3)

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

Select one:

☐ **Not applicable**

☒ **Applicable**

Check the applicable authority or authorities:

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

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

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

A new CCC+ 1915(b) waiver has been submitted concurrently with this waiver renewal.

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:

Commonwealth Coordinated Care Financial Alignment Demonstration. This program expires on December 31, 2017.

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 Commonwealth Coordinated Plus (CCC+) waiver provides home and community-based services to individuals who meet the nursing facility, specialized care facility, or hospital level of care. The individuals receiving services through the waiver have been determined to be at risk for institutional placement in the absence of waiver services.

The goal of the CCC+ Waiver is to incorporate the principles of self-determination and supplement community supports while fostering dignity, quality of life, and security in the everyday lives of individuals who are medically fragile, older adults or have disabilities while maintaining the individual in the community. The CCC+ Waiver offers an array of services to support community living and includes self-directed options to allow for greater individual autonomy. All services are offered statewide and include Adult Day Health Care, Assistive Technology, Environmental Modifications, Personal Assistance services, Personal Emergency Response Systems, Respite services, Services Facilitation, Skilled Private Duty Nursing, and Transition Services. The individual may elect to self-direct Personal Assistance Services and Respite Services.

The objectives of the CCC+ Waiver are to:

- 1) Promote independence for participants through high quality services and the assurance of health, safety, and welfare through a comprehensive quality management strategy;
- 2) Offer an alternative to institutionalization and costly comprehensive services through an array of community supports that promote

inclusion and independence by enhancing rather than replacing existing informal supports;
 3) Support participants and their families to share responsibility for their supports and services.

The Virginia Department of Medical Assistance Services (DMAS) is the Single State agency which maintains administrative and quality oversight of the CCC+ waiver. Beginning July 1, 2017, Virginia will begin phasing in the delivery of long-term services and supports through an integrated model of care that includes both HCBS and institutional based services, behavioral health, primary, and acute services through capitated Medicaid managed care plans. This will be accomplished by using combined 1915(b) and 1915(c) waiver authority. This provides an opportunity to create a seamless, integrated health services delivery system with goals that include:

- Improved quality of life, satisfaction, and health outcomes for individuals who are enrolled;
- A seamless, one-stop system of services and supports;
- Service coordination that provides assistance in navigating the service environment, timely and effective transfer of information, and tracking of referrals and transitions to identify and overcome barriers;
- Care coordination for individuals with complex needs that integrates the medical and social models of care, ensures individual choice and rights, and includes individuals and family members in decision making using a person-centered model;
- Support for transitions between service/treatment settings;
- Facilitation of communication among providers to improve the quality and cost effectiveness of care;
- Arrangement of services and supports to maximize opportunities for community living; and,
- System-wide quality improvement and monitoring.

DMAS contracts with the Virginia Departments of Health and Social Services and acute care hospitals to conduct initial level of care screenings for individuals. Services are accessed via these community-based or hospital screeners. Individuals opting to receive services in the community through the CCC+ Waiver choose the types of services needed, the method of service delivery (agency-directed, consumer-directed, or both) and the providers of those services. All services must be authorized and delivered in accordance with the individual plan of care. The average participant's expenditures for all waiver services shall not exceed the average Medicaid expenditures for nursing facility or acute care hospital placement. DMAS utilizes contractual services of fiscal agent entities. In addition, DMAS contracts with a service authorization contractor for services provided through fee for service (FFS).

While the majority of individuals will receive these services through a managed care organization, there will be some that will continue in the fee for service model for a finite period of time. Individuals may receive services through the FFS model until MCO enrollment occurs which is the 1st of the month. Individuals transitioning to home and community care through the Money Follows the Person (MFP) Demonstration are excluded from participation in managed care during the first year of waiver services. These individuals will be enrolled in a managed care plan at the end of the MFP year.

Since April 2014, Virginia has participated in a Medicare-Medicaid financial alignment Demonstration, for dual eligibles known as Commonwealth Coordinated Care (CCC). The CCC Demonstration includes individuals that receive services through the current EDCD Waiver services in select regions. Dual eligible individuals are able to voluntarily enroll and receive their health care AND long-term care services, including HCBS services, through a single delivery system. The Commonwealth contracts with three Medicare-Medicaid Plans (MMP) to provide ongoing access to quality health and long-term care services, coordinated benefits between Medicare and Medicaid, care coordination, and referrals to appropriate community resources. Individuals who opted out of the CCC Demonstration will be enrolled in the CCC+ program. The CCC Demonstration is scheduled to end on December 31, 2017 at which time individuals will be transitioned to the CCC+ Program.

3. Components of the Waiver Request

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

- A. Waiver Administration and Operation.** Appendix A specifies the administrative and operational structure of this waiver.
- B. Participant Access and Eligibility.** Appendix B specifies the target group(s) of individuals who are served in this waiver, the number of participants that the State expects to serve during each year that the waiver is in effect, applicable Medicaid eligibility and post-eligibility (if applicable) requirements, and procedures for the evaluation and reevaluation of level of care.
- C. Participant Services.** Appendix C specifies the home and community-based waiver services that are furnished through the waiver, including applicable limitations on such services.
- D. Participant-Centered Service Planning and Delivery.** Appendix D specifies the procedures and methods that the State uses to develop, implement and monitor the participant-centered service plan (of care).
- E. Participant-Direction of Services.** When the State provides for participant direction of services, Appendix E specifies the participant direction opportunities that are offered in the waiver and the supports that are available to participants who direct their services. (*Select one*):

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

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

- G. Participant Safeguards.** Appendix G describes the safeguards that the State has established to assure the health and welfare of waiver participants in specified areas.
- H. Quality Improvement Strategy.** Appendix H contains the Quality Improvement Strategy for this waiver.
- I. Financial Accountability.** Appendix I describes the methods by which the State makes payments for waiver services, ensures the integrity of these payments, and complies with applicable federal requirements concerning payments and federal financial participation.
- J. Cost-Neutrality Demonstration.** Appendix J contains the State's demonstration that the waiver is cost-neutral.

4. Waiver(s) Requested

- A. Comparability.** The State requests a waiver of the requirements contained in §1902(a)(10)(B) of the Act in order to provide the services specified in **Appendix C** that are not otherwise available under the approved Medicaid State plan to individuals who: (a) require the level(s) of care specified in Item 1.F and (b) meet the target group criteria specified in **Appendix B**.
- B. Income and Resources for the Medically Needy.** Indicate whether the State requests a waiver of §1902(a)(10)(C)(i)(III) of the Act in order to use institutional income and resource rules for the medically needy (*select one*):
- ☐ Not Applicable
- ☐ No
- ☒ Yes
- C. Statewide.** Indicate whether the State requests a waiver of the statewide requirements in §1902(a)(1) of the Act (*select one*):
- ☒ No
- ☐ Yes

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

- ☐ **Geographic Limitation.** A waiver of statewide is requested in order to furnish services under this waiver only to individuals who reside in the following geographic areas or political subdivisions of the State.
Specify the areas to which this waiver applies and, as applicable, the phase-in schedule of the waiver by geographic area:
-
- ☐ **Limited Implementation of Participant-Direction.** A waiver of statewide 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 Department has a strong history of working with stakeholders. The public notice and public facing process of this waiver amendment required a significant amount of dedicated staff time and effort. To that end, stakeholders shall be able to attest to the incorporation of ideas, suggestions, and concepts. Due to the complex nature of this initiative, the initial public facing strategies were targeted based on demonstration concept, though all elements provided for in 42 CFR 431.408 are addressed. The development of an integrated care model has been an evolution, engaging stakeholders at each point of the process. DMAS thus proposed a unified waiver approach, merging managed long-term services and supports (MLTSS) and DSRIP together. To that end, each component of the application was given unique attention, resulting in three key public comment opportunities, all meeting the CMS requirements. The final formal public comment exercise merged the previous efforts and included many suggestions and elements of feedback, as acknowledged by many stakeholders in the third public comment solicitation responses. As reflected in the requested documentation, DMAS extended public comment requests in writing, in person, and via teleconference and WebEx. In addition to these formal public comment solicitations, there have been significant efforts to engage stakeholders in meetings and brain storming sessions, all to ensure the Department's efforts are strategic, comprehensive, and innovative. DMAS fully intends to maintain engagement of stakeholders both at large, and in targeted groups as the Department further refines and develops program specifics. DMAS already has ongoing, active MLTSS advisory committee to ensure ongoing engagement and monitoring of this program. In addition, DMAS has on-going outreach presentations to inform the public of the upcoming changes and impact. These presentations are conducted in person, by webinar and phone.

A summary of comments received from the public notice process may be found at the following weblink:

http://www.dmas.virginia.gov/Content_atchs/ltc/MLTSS%20Public%20Comments%20Compiled%20no%20PHI%20071615.pdf

Start and end dates of the state's public comment period:

Managed Long-Term Services and Supports (MLTSS): General Approach Proposal: May 18th – June 16, 2015

Model of Care: September 1 – September 30, 2015

Proposed Unified Waiver Approach (MLTSS, DSRIP, §1915(c) waiver authority): December 1 – 31, 2015

Comments received by the state during the 30 day public comment period and a summary of the state's responses to submitted comments, and whether or how the state incorporated them into the final application.

A summary of comments received and DMAS' responses can be viewed in Appendix D of the proposed 1115 Demonstration. Certification that the state convened at least two public hearings, of which one hearing included teleconferencing and/or web capability, 20 days prior to submitting the application to CMS

MLTSS:

General Approach Proposal: May 18th – June 16, 2015

http://www.dmas.virginia.gov/Content_atchs/ltc/MLTSS%20Public%20Comment%20AMENDED%20052615.pdf

Discussion of Proposal: June 2, 2015: http://www.dmas.virginia.gov/Content_atchs/ltc/Notice%20announcing%20all%20plans%20meeting%20final.pdf

DSRIP:

September 11, 2015 <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23344>

1:00 PM to 3:00 PM (EDT)

Meeting location: VCU - Community Memorial Hospital, 125 Buena Vista Circle, South Hill, VA 23970

September 14, 2015

1:00 PM to 3:00 PM (EDT)

Meeting location: Southwest Higher Education Center, One Partnership Cir, Abingdon, VA 24210

September 16, 2015

1:00 PM to 3:00 PM (EDT)

Meeting location: Mary Washington Hospital - John F. Fick Conference Center, 1301 Sam Perry Blvd, Fredericksburg, VA 22401

September 25, 2015 <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23396>

1:00 PM to 3:00 PM (EDT)

Meeting location: 920 Corporate Lane, Chesapeake, VA 23320

September 29, 2015 <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23397>

10:00 AM to 12:00 PM (EDT)

Meeting location: Kaiser Permanente Center for Total Health, 700 2nd Street Northeast, Washington, DC 20002

October 15, 2015 <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23571>

Webinar: Provider Organization Models for Integrated Care Delivery – Models for Other States

Focus Groups

Community Capacity <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23522>

Wednesday, October 7, 2015

10:00am - 4:00pm (EDT)

Meeting location: 3831 Westerre Parkway, Henrico, VA 23233

Data Integration and Infrastructure <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23524>

Friday, November 6, 2015

10:00am - 1:00pm (EDT)

Meeting location: Perimeter Center, 9960 Mayland Drive, Suite 201, Board Room 1, Henrico, VA 23233

MLTSS + DSRIP:

November 18, 2015: <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23693> (phone call capability)

Unified Waiver (MLTSS, DSRIP, §1915(c) waiver authority):

December 1, 2015: <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23735> (phone call capability)

December 2, 2015: <http://townhall.virginia.gov/L/ViewMeeting.cfm?MeetingID=23736>

Certification that the state used an electronic mailing list or similar mechanism to notify the public. (If not an electronic mailing list, please describe the mechanism that was used.

1)Virginia Town Hall – State Administrative Register – web links intermittent throughout the explanations above

2)DMAS webpage - visible off of main page: MLTSS: State webpage with all related information:

http://www.dmas.virginia.gov/Content_pgs/mltss-home.aspx

Continued: Main 8b

- J. Notice to Tribal Governments.** The State assures that it has notified in writing all federally-recognized Tribal Governments that maintain a primary office and/or majority population within the State of the State's intent to submit a Medicaid waiver request or renewal request to CMS at least 60 days before the anticipated submission date is provided by Presidential Executive Order 13175 of November 6, 2000. Evidence of the applicable notice is available through the Medicaid Agency.
- K. Limited English Proficient Persons.** The State assures that it provides meaningful access to waiver services by Limited English Proficient persons in accordance with: (a) Presidential Executive Order 13166 of August 11, 2000 (65 FR 50121) and (b) Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003). **Appendix B** describes how the State assures meaningful access to waiver services by Limited English Proficient persons.

7. Contact Person(s)

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

Last Name:

Kimsey

First Name:

Karen

Title:

Deputy Director

Agency:

Virginia Department of Medical Assistance Services

Address:

600 East Broad Street

Address 2:

City:

Richmond

State:

Virginia

Zip:

23219

Phone:

(804) 786-8099

Ext:☐ TTY**Fax:**

(804) 612-0040

E-mail:

karen.kimsey@dmass.virginia.gov

B. If applicable, the State operating agency representative with whom CMS should communicate regarding the waiver is:**Last Name:****First Name:****Title:****Agency:****Address:****Address 2:****City:****State:**

Virginia

Zip:**Phone:****Ext:**☐ TTY**Fax:****E-mail:**

8. Authorizing Signature

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

Signature:

Cindi Jones

State Medicaid Director or Designee

Submission Date:

Jun 19, 2017

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

Last Name:	<input type="text" value="Jones"/>		
First Name:	<input type="text" value="Cindi"/>		
Title:	<input type="text" value="Agency Director"/>		
Agency:	<input type="text" value="Department of Medical Assistance Service"/>		
Address:	<input type="text" value="600 E Broad St"/>		
Address 2:	<input type="text"/>		
City:	<input type="text" value="Richmond"/>		
State:	Virginia		
Zip:	<input type="text" value="23219"/>		
Phone:	<input type="text" value="(804) 786-8099"/>	Ext: <input type="text"/>	<input type="checkbox"/> TTY
Fax:	<input type="text" value="(804) 452-5468"/>		
E-mail:	<input type="text" value="cindi.jones@dmass.virginia.gov"/>		
Attachments	<input type="text"/>		

Attachment #1: Transition Plan

Check the box next to any of the following changes from the current approved waiver. Check all boxes that apply.

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

Specify the transition plan for the waiver:

Current Technology Assisted (Tech) Waiver beneficiaries will be transitioned into this waiver as a part of the Commonwealth's initiative to integrate acute and long term care services into a mandatory, statewide managed care program. Individuals currently receiving services through the Tech Waiver will transition to the CCC+ waiver on or prior to June 30, 2017 and will be notified at least 30 days in advance of the changes. This written notice will include the options for continued home and community based services through the CCC+ waiver and institutional services. All individuals will be notified of their right to appeal this action.

Individuals choosing to receive services through the CCC+ waiver will continue to receive the same services that were available through the Tech Waiver. To ensure the health and safety of individuals who choose the CCC+ waiver, DMAS registered nurse staff will closely monitor the care management of these individuals and participate in the interdisciplinary care team that develops the person-centered plan of care during the transition.

EPSDT - DMAS will ensure personal care, private duty nursing, and assistive technology services are provided to individuals under the age of 21 through the EPSDT program.

Transition Coordination is being eliminated as a distinct waiver service. This service will be provided by care coordination staff of the MCO.

Attainment 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.

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

On December 9, 2016 the state received initial approval from CMS for its STP.

The Virginia Department of Medical Assistance Services (DMAS) is the operating agency for the Elderly or Disabled with Consumer Direction Waiver. The state has developed a Statewide Transition Plan (STP) as a means of outlining current status and needed actions to bring waiver settings and providers into compliance with CMS's Final Rule by March of 2019.

Virginia submitted its initial STP in March of 2015. CMS provided feedback on the STP in August of 2015 in the form of a Clarification and/or Modifications required for Initial Approval (CMIA) letter. In response, Virginia revised its STP, this revised STP went out for public comment and was submitted to CMS in April of 2016.

In September of 2016 Virginia received feedback from CMS on the April 2016 revised STP. This feedback was provided in two parts – first was additional information and clarifications needed in order for the state to receive initial approval of the STP. This primarily related to systemic assessment and compliance. And second part involved the process for the assessment of settings and ensuring HCBS compliance of all HCBS settings.

CMS has affirmed the states determination that for the EDCD waiver the only settings identified as needing further assessment are Adult Day Care Centers providing Adult Day Health Care (ADHC) services. In addition, systemic remediation of ADHC rules regulations and policies is also needed. Information on the systemic assessment and compliance and settings assessment and compliance of the EDCD waiver follows.

A. Systemic Assessment of EDCD Waiver ADHC Regulations, Licensing Regulations and Related Policies

The state's determination of compliance of EDCD Waiver regulations and policies has been modified in the most recent STP submitted to CMS on 12/2/2016. While regulations and policies are generally supportive additional detail is needed in order for regulations and policies to fully comport with the HCBS requirements. In the 12/2/2016 revised STP the state included a chart that provides a timeline, including interim steps and milestones, to bring state regulations and policies into full compliance with HCBS requirements. The EDCD Waiver provider manual and supporting EDCD Waiver regulations are the vehicles by which the state will ensure Virginia's regulations and policies fully address the federal HCBS requirements. The state anticipates having its rules, regulations and policies in full compliance with all HCBS requirements in January 2018.

B. Assessment of Characteristics of ADHC settings

The state's determination of compliance of ADHC settings with the HCBS settings requirements has been modified. The original determination of compliance was based on the state's rules regulations on policies comporting with the HCBS regulations. Due to a change in this determination and the needed remediation of rules, regulations and policies it is necessary for the state to assess settings' compliance. In the state's revised STP submitted on 12/2/2016 the state acknowledged its intention for the completion of provider self-assessments of all ADHC settings and validation of those assessments. The state will submit to CMS in June 2017a revised STP with ADHC self-assessment results, validation of findings and the remediation actions for settings that are not fully compliant.

C. Technical Assistance & Compliance Monitoring

DMAS staff have been reaching out to providers, stakeholders and advocacy organizations to inform them of the HCBS regulations and requirements. Presentations, webinars and conference calls have all been utilized to educate providers about the need to comply with and the nuances of the settings requirements. Additional training and technical assistance will be ongoing throughout the transition period.

DMAS Long-Term Care Quality Management Review (QMR) staff will provide additional technical assistance and guidance to providers. QMR staff will provide technical assistance and guidance related to ensuring that the setting as a whole is complying and that the quality of Medicaid waiver participants' experiences with receipt of services are comparable to those not receiving Medicaid funded HCBS. This will occur primarily through validation of provider self-assessments, review of provider records for waiver participants and documentation to support any individually assessed restrictions that may be in place per the individual's person-centered service plan.

D. Provider Sanctions and Disenrollment

Providers not currently meeting the settings requirements will be asked to regularly report on the status of their remediation actions according to their corrective action plan. Those provider agencies that do not comply by June of 2018 will receive a letter notifying them that they will likely forfeit their Medicaid Waiver provider status and be disenrolled by March of 2019. Providers will then have several choices. Providers may exercise the option to voluntarily terminate their Medicaid provider agreements. Providers whose self-assessment reveals issues that are not resolvable, may choose to relocate to settings that will enable them to more easily comply. In such instances, DMAS will ensure individuals whose providers status is anticipated to change, are notified as appropriate, of the provider's status and anticipated disenrollment/relocation date. DMAS will ensure the provider, individual, and family as appropriate, receive the information and support needed to ensure smooth transition to a setting that complies with the HCBS regulations.

E. Provider Enrollment

As the new regulations are promulgated, Virginia will develop and operationalize procedures to validate conformance with settings requirements into existing processes for provider enrollment and licensing. The developed and implemented changes will be designed to ensure that, as new providers enroll, they fully meet the settings requirements.

D. Public/Stakeholder Engagement

F. Public Input Process

The original Statewide Transition Plan was released for public comment for 30 days, from December 18, 2014 – January 17, 2015. Following CMS review and receipt of the state's CMIA letter from CMS, the STP was revised and re-released for public comment for 30 days, from March 7, 2016 – April 7, 2016. The public input process was been designed to allow individuals receiving waiver services, individuals likely to receive services, providers, stakeholders and advocacy and other organizations an opportunity to provide input and recommendations into the plan. All public comments and dates of public notice for the STP will be retained on record and available for review.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

MLTSS: State webpage with all related information: http://www.dmas.virginia.gov/Content_pgs/mltss-home.aspx

3)Agency Electronic Mailing: Distribution to Network Providers 3,700 and approximately 290 Stakeholders and additional contacts

DMAS maintains an email address in which any individual or organization can contact the agency about MLTSS related issues which is monitored daily with prompt responses - mltss@dmas.virginia.gov.

Outreach Presentations (MLTSS):

12/1/2015 Town Hall: Combined Section 1115 Waiver MLTSS and DSRIP Charlottesville

12/2/2015 Town Hall: Combined Section 1115 Waiver MLTSS and DSRIP Richmond

3/16/2016 Virginia Board for Persons with Disabilities Richmond

3/29/2016 VA Association of Personal Care Providers Regional Spring Conference Salem

4/7/2016 VA Association of Personal Care Providers Regional Spring Conference Newport News

4/12/2016 VA Association of Personal Care Providers Regional Spring Conference Richmond

4/19/2016 VA Association of Personal Care Providers Regional Spring Conference Fairfax

5/2/2016 Governor's Conference on Aging Richmond

5/10/2016 RFP Pre-proposal Conference Richmond

5/20/2016 LeadingAge Virginia Conference Williamsburg

9/7/2016 Department for Aging and Rehab Services: Annual Statewide VICAP Counselor's Conference Richmond

9/8/2016 Coordinated Care Work Group of Alzheimer's Disease and Related Disorders Department of Aging and Rehabilitation Services Richmond

9/12/2016 Virginia Health Care Association Warm Springs

9/14/2016 Virginia Interagency Coordinating Council Richmond

9/15/2016 VA Association of Home Care and Hospice: Medicaid/Personal Care Provider Conference Richmond

9/20/2016 Private Duty Nursing Webinar – statewide

9/21/2016 Commonwealth Council on Aging Department of Aging and Rehabilitation Services Richmond

9/28/2016 Long Term Care Ombudsman Virginia Beach
 10/3/2016 Centers for Independent Living Executive Directors Harrisonburg
 10/5/2016 VA Association of Community Services Boards: Public Policy Conference Charlottesville
 10/6/2016 VA Association of Personal Care Providers Conference Richmond
 10/6/2016 VA Community Based Providers Roanoke
 10/12/2016 New River Valley Agency on Aging: Open Forum Fairlawn
 9/26/2016 Regional Service Facilitator Training Abington
 9/27/2016 Regional Service Facilitator Training Salem
 10/4/2016 Regional Service Facilitator Training Norfolk
 10/11/2016 Regional Service Facilitator Training Warrenton
 10/17/2016 Regional Service Facilitator Training Richmond
 10/21/2016 LeadingAge Virginia - Adult Day Health Winchester
 10/27/2016 Virginia Bar Association Richmond
 11/16/2016 Brain Injury Association of Virginia Webinar
 11/7/2016 Virginia Association of Health Plans Policy Forum Richmond
 11/18/2016 LeadingAge Virginia Phone – statewide
 11/30/2016 Community Integration Advisory Commission Richmond
 12/5/2016 Disability Services Council Community Services Board Richmond
 12/6/2016 Alzheimer's Disease and Related Disorders Commission Department of Aging and Rehabilitation Services Richmond
 12/15/2016 Nursing Facility Advisory Committee Virginia Health Care Association Richmond
 1/10/2017 Community Care Network of Virginia (Federally Qualified Health Care Centers) Webinar – Statewide
 1/11/2017 Partners in Aging Fredericksburg
 1/17/2017 Mental Health/Substance Use Disorder Council Virginia Association of Community Services Boards Richmond
 1/10-20/17 Presentations to State Senate Finance and House Appropriations Committees Richmond

DMAS established an Advisory Committee of advocates, providers and other stakeholders that meets regularly to provide feedback about the program. These meetings are open to the public. In addition, DMAS convened an external communication work group made up of professionals from sister agencies to help inform the communication and outreach materials for this program. DMAS will continue to engage stakeholders and individuals affected by the Commonwealth Coordinated Care Plus program as we move toward program implementation. DMAS will continue outreach presentations and conduct provider and beneficiary town halls. DMAS will work with the health plans to coordinate provider training to help facilitate a smooth transition to CCC Plus. DMAS will begin weekly conference calls for providers and beneficiaries to address problems and concerns during program launch.

Virginia has one federally recognized tribe, the Pamunkey. Tribal representatives were notified on February 4, 2016 and made aware that they have the opportunity to comment on this waiver. At this time no comments have been registered.

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:

Division of Long Term Care

(Do not complete item A-2)

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

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

(Complete item A-2-a).

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

Specify the division/unit name:

In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the waiver and issues policies, rules and regulations related to the waiver. The interagency agreement or

memorandum of understanding that sets forth the authority and arrangements for this policy is available through the Medicaid agency to CMS upon request. *(Complete item A-2-b).*

Appendix A: Waiver Administration and Operation

2. Oversight of Performance.

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

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

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

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

Appendix A: Waiver Administration and Operation

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

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

Specify the types of contracted entities and briefly describe the functions that they perform. *Complete Items A-5 and A-6.:* Virginia DMAS contracts with the following entities related to the respective roles:

1) Virginia Department of Health (VDH) and Virginia Department of Social Services (VDSS) are contracted through Inter-Agency Agreements to serve as the community level point of entry into the waiver. Screening teams made up of a social worker from VDSS and a RN from VDH conduct initial level of care screenings. The screenings are conducted on-site at the individual's home. The screeners provide information about the waiver and offer choice between institutional and community-based services. Appropriate referrals are made based on the individual's choices.

32.1-330 of the Code of Virginia requires screening to be conducted by teams that are either community-based or in acute care hospitals. For children under the age of 21, the Virginia Department of Health serves as the single point of entry for screening.

Those who qualify for services may choose the types of services they need, the method of service delivery (agency-directed, consumer-directed, or both) and the provider(s) of those services.

2) A Service Authorization contractor receives and review service authorization requests for individuals receiving FFS. The contractor reviews the individual's health assessment and plan of care to ensure services meet waiver requirements including meeting LOC requirements for the waiver, and service limits are not exceeded. Service authorization is required initially, annually, and as needs change. Individual's enrolled in managed care will have services authorized by the MCO.

3) A Fiscal Management Agent contractor performs provider enrollment, provides management of the Virginia MMIS and performs fiscal intermediary services. MCOs perform provider enrollment and claims payment functions for providers within their networks.

4) A Fiscal/Employer Agent (FEA) is contracted to perform the functions of the fiscal management services for consumer-direction. The FEA conducts payment activities on behalf of the individual receiving consumer-directed services. The FEA is responsible for calculating and filing all employer related taxes and makes payment to attendants on a bi-weekly basis. MCOs are required to contract with the DMAS FEA for fiscal management services for consumer-direction.

- ☐ **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 Virginia Department of Medical Assistance Services maintains responsibility for assessing the performance of contracted entities. DMAS employees provide daily oversight of administrative operations and periodically evaluate outcomes and deliverables from each contractor.

Appendix A: Waiver Administration and Operation

- 6. Assessment Methods and Frequency.** Describe the methods that are used to assess the performance of contracted and/or local/regional non-state entities to ensure that they perform assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify how frequently the performance of contracted and/or local/regional non-state entities is assessed:

Virginia DMAS is responsible for the assessment of performance of all contracted entities that take part in waiver operational and/or administrative functions. Medicaid agency employees are assigned the duties of contract monitor to oversee and ensure the performance of the contracted entities and complete an evaluation every six months. Contract monitors are responsible for:

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

The Department's evaluation measures include:

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

DMAS staff will provide oversight and on-going monitoring of the MCOs providing waiver services. Staff will conduct on-site monitoring of systems, data, and reporting to ensure service quality and adequacy. DMAS will track and analyze data from each health plan that support program operations including authorization and provider network data.

Additionally, as part of NCQA requirements, the health plans are required to perform all HEDIS measures that meet the minimum criteria for calculation. Health plans will also be required to track none-HEDIS behavioral health measures and LTSS measures. Measure selection will be driven by the goals and objective of CCC + Program and align with Federal and State health care priorities. Ongoing performance measure trending will be conducted for CCC+. The Department will require corrective action plans for those measures falling below Department established benchmarks.

The Department, in collaboration with the health plans, the External Quality Review Organization (EQRO), other state agencies, and stakeholders will conduct on-going monitoring activities to ensure compliance to managed care program requirements and the provision of quality of care for all CCC+ waiver participants. Monitoring mechanisms will include but not be limited to: frequent meetings or conference calls; evaluation of complaint and other required reports; Good Cause requests; Program Integrity audits; EQRO reviews; information provided to participants through mailings or that is available on the DMAS/Managed Care websites; and information provided by the enrollment broker and DMAS helplines. This continual monitoring will be done to meet federal and state regulatory compliance, and to fulfill the DMAS managed care goal which is, "to provide a cost-effective managed care delivery system for eligible Medicaid participants that exceeds the industry standards for timeliness, access and quality of care."

The close continuous and on-going monitoring efforts and hands-on attention to participant complaints allows the Department to identify potential problem areas, patterns or trends in the type of problems, and whether the problems stem from programmatic issues, which may be corrected or addressed through clarification memos or contract amendments. For additional details of the MCO monitoring plan, please refer to the 1915 (b) application.

Appendix A: Waiver Administration and Operation

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

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

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

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

a. Methods for Discovery: Administrative Authority

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

i. Performance Measures

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

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

Where possible, include numerator/denominator.

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

Performance Measure:

Number and percent of satisfactory Interagency Agreement/Contract evaluations. N: # of satisfactory Interagency Agreements/Contract evaluations; D: Total # of Interagency Agreements/contracts with entities performing functions related to the waiver.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of MCO reports submitted according to CCC Plus Waiver Program Reporting Manual. N: # of reports submitted D: Total # of required reports

Data Source (Select one):

Other

If 'Other' is selected, specify:

CCC Plus Performance Data

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

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
	<input type="checkbox"/> Other Specify: <div></div>

Performance Measure:

Number and percent of quality management reviews conducted according to the sampling methodology specified in the waiver. N: Number of QMRs conducted D: Number required based on sampling methodology

Data Source (Select one):

Other

If 'Other' is selected, specify:

QMR reports

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

Data Aggregation and Analysis:

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

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

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

b. Methods for Remediation/Fixing Individual Problems

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

If a problem is discovered, the assigned DMAS Long-Term Care Quality Improvement Team (QIT) staff will work with the specific DMAS contract monitor and the DMAS Budget and Contract Unit to implement corrective action.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

☒ No

☐ Yes

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

Appendix B: Participant Access and Eligibility

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

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

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age			
				Maximum Age Limit		No Maximum Age Limit	
<input checked="" type="checkbox"/> Aged or Disabled, or Both - General							
	<input checked="" type="checkbox"/>	Aged	65				<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	Disabled (Physical)	0		64		
	<input checked="" type="checkbox"/>	Disabled (Other)	0		64		

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age			
				Maximum Age Limit		No Maximum Age Limit	
<input checked="" type="checkbox"/> Aged or Disabled, or Both - Specific Recognized Subgroups							
	<input type="checkbox"/>	Brain Injury					<input type="checkbox"/>
	<input type="checkbox"/>	HIV/AIDS					<input type="checkbox"/>
	<input type="checkbox"/>	Medically Fragile					<input type="checkbox"/>
	<input checked="" type="checkbox"/>	Technology Dependent	0				<input checked="" type="checkbox"/>
<input type="checkbox"/> Intellectual Disability or Developmental Disability, or Both							
	<input type="checkbox"/>	Autism					<input type="checkbox"/>
	<input type="checkbox"/>	Developmental Disability					<input type="checkbox"/>
	<input type="checkbox"/>	Intellectual Disability					<input type="checkbox"/>
<input type="checkbox"/> Mental Illness							
	<input type="checkbox"/>	Mental Illness					
	<input type="checkbox"/>	Serious Emotional Disturbance					

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

To meet the subgroup criteria for technology dependent, an individual must be chronically ill or severely impaired and require both a medical device to compensate for the loss of a vital body function and substantial ongoing nursing care to avert death or further disability. The requirement for a medical device to compensate for the loss of a vital body function may include one or more of the following categories.

- * Individuals dependent at least part of each day on mechanical ventilators, and
- * Individuals meeting specialized tracheotomy criteria.

The need for substantial and ongoing nursing is determined by the score an individual receives on the Objective Scoring Tool. Individuals must score a minimum 50 in the Technology section of the tool to receive services.

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:

Not applicable. No maximum age limits apply.

Appendix B: Participant Access and Eligibility

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

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

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

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

- ☐ A level higher than 100% of the institutional average.

Specify the percentage:

- ☐ Other

Specify:

- ☐ **Institutional Cost Limit.** Pursuant to 42 CFR 441.301(a)(3), the State refuses entrance to the waiver to any otherwise eligible individual when the State reasonably expects that the cost of the home and community-based services furnished to that individual would exceed 100% of the cost of the level of care specified for the waiver. *Complete Items B-2-b and B-2-c.*
- ☐ **Cost Limit Lower Than Institutional Costs.** The State refuses entrance to the waiver to any otherwise qualified individual when the State reasonably expects that the cost of home and community-based services furnished to that individual would exceed the following amount specified by the State that is less than the cost of a level of care specified for the waiver.

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

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

- ☐ The following dollar amount:

Specify dollar amount:

The dollar amount (select one)

- ☐ Is adjusted each year that the waiver is in effect by applying the following formula:

Specify the formula:

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

- ☐ The following percentage that is less than 100% of the institutional average:

Specify percent:

- ☐ Other:

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

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

☐ **Other safeguard(s)**

Specify:

Appendix B: Participant Access and Eligibility

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

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

Table: B-3-a

Waiver Year	Unduplicated Number of Participants
Year 1	39905
Year 2	42224
Year 3	44680
Year 4	47283
Year 5	50040

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

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

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

Table: B-3-b

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

Appendix B: Participant Access and Eligibility

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

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

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

Appendix B: Participant Access and Eligibility**B-3: Number of Individuals Served (3 of 4)**

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

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

- e. **Allocation of Waiver Capacity.**

Select one:

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

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

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

Virginia provides home and community-based services to individuals who are elderly and/or have disabilities and who meet the nursing facility or hospital level of care criteria. Individuals who meet the functional, medical/nursing need and financial eligibility criteria receive a waiver slot and choose the services needed, select the providers of those services, and may opt to self-direct care for certain services. DMAS does not maintain a waiting list for the EDCD Waiver; participants are served on a first come, first served basis.

Participants who have their acute care services covered by a managed care organization will request and enroll in the EDCD Waiver by the same process.

Appendix B: Participant Access and Eligibility**B-3: Number of Individuals Served - Attachment #1 (4 of 4)**

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

Appendix B: Participant Access and Eligibility**B-4: Eligibility Groups Served in the Waiver**

a.

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

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

2. **Miller Trust State.**

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

- ☒ **No**
- ☐ Yes

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

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

- ☐ Low income families with children as provided in §1931 of the Act
- ☐ SSI recipients
- ☒ **Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121**

- ☐ Optional State supplement recipients
- ☒ Optional categorically needy aged and/or disabled individuals who have income at:

Select one:

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

Specify percentage:

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

Specify:

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

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

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

Select one and complete Appendix B-5.

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

Check each that applies:

- ☐ A special income level equal to:

Select one:

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

Specify percentage:

- ☐ A dollar amount which is lower than 300%.

Specify dollar amount:

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

Select one:

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

Specify percentage amount:

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

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

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

The State uses more restrictive eligibility requirements than SSI and uses the post-eligibility rules at 42 CFR 435.735 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following amounts and expenses from the waiver participant's income:

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

- ☐ **The following standard included under the State plan**

(select one):

- ☐ **The following standard under 42 CFR §435.121**

Specify:

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

(select one):

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

Specify percentage:

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

Specify dollar amount:

- ☐ **A percentage of the Federal poverty level**

Specify percentage:

- ☐ **Other standard included under the State Plan**

Specify:

- ☐ **The following dollar amount**

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

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

Specify:

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

- ☐ **Other**

Specify:

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

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

Specify the amount of the allowance (select one):

- ☐ **The following standard under 42 CFR §435.121**

Specify:

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

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

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

Specify:

iii. Allowance for the family (select one):

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

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

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

Specify:

- ☐ **Other**
Specify:

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

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

Select one:

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

- ☐ **The State establishes the following reasonable limits**

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

i. Allowance for the personal needs of the waiver participant

(select one):

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

Specify percentage:

- ☐ **The following dollar amount:**

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

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

Specify formula:

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

- ☐ **Other**

Specify:

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

Select one:

- ☒ **Allowance is the same**
☐ **Allowance is different.**

Explanation of difference:




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

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

Select one:

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

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

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

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

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

i Minimum number of services.

(The minimum number of individual services required 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 (other than the) also requires a minimum frequency for the provision of waiver services other than monthly (e.g. specify the frequency:

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

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

Specify the entity:

- ☒ **Other**
Specify:

The State Code of Virginia, § 32.1-330 states that all individuals who are requesting community based or nursing facility (NF) long-term care services and supports (LTSS), require a screening to determine if they meet the level of care needed for NF services. DMAS contracts with the Virginia Department of Health (VDH), Department of Aging and Rehabilitation Services (DARS), and hospitals to conduct level of care screenings. In the community, screeners are locality staff including nurses and physicians from the Virginia Department of Health and family services specialists from the local departments of social services (LDSS). Acute care hospitals utilize discharge planners to complete the screening that is reviewed and signed by a physician.

All screenings include a face-to-face assessment with the individual and family or caregivers, as appropriate, to determine the individuals' needs based on functional criteria, medical and nursing needs, and the risk for placement into an institution in the absence of waiver services. This standardized assessment is documented on the Virginia Uniform Assessment Instrument (UAI), which guides the team in identifying the individual's appropriate LOC requirements based on medical needs and circumstances. The documentation of the face-to-face screening is reviewed by the physician. If services are needed, each member of the screening team must sign the Medicaid Funded Long-Term Care Service Authorization form that identifies the LOC of the individual and deems the information valid for enrollment into the CCC+ Waiver. This process is the same for all populations including those enrolled in FFS, CCC, and CCC+.

DMAS conducts annual level of care re-evaluations to ensure all individuals enrolled in the waiver continue to meet the eligibility criteria to receive waiver services. The MCO or the fee for service provider completes the Level of Care Eligibility Re-determination Instrument (LOCERI) that documents the functional status, medical and nursing needs and physical health of the participant. The MCO or provider submits the information to DMAS through a secure web-portal that is programmed to validate the participant's level of care. In the event that the electronic validation check determines the individual no longer meets the criteria for services, a referral is generated and sent to a DMAS RN and a higher level review and re-determination is conducted. The RN performs an independent assessment and makes a final determination.

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:

Initial level of care evaluations must be completed by a team of individuals with the minimum qualifications listed below:

- 1) A registered nurse licensed in the Commonwealth of Virginia;
- 2) A social worker or family services specialist;
- 3) A physician licensed to practice in the Commonwealth of Virginia

Family services specialist must possess a minimum of a baccalaureate degree in the human services field; or possess a minimum of a baccalaureate degree in any field accompanied by a minimum of two years appropriate and related experience in a human services related area

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.

Virginia uses the Virginia Uniform Assessment Instrument (UAI) to assess level of care criteria for the CCC+ Waiver. The UAI is the standardized multidimensional assessment instrument that is completed by the screening entity that assesses an individual's functional abilities, physical health, orientation and mental/behavioral health, social and home environment to determine if the individual meets the nursing facility level of care. The UAI fosters the sharing of information between providers, and assessors are encouraged to share information about the individual to avoid duplicative paperwork. The UAI ensures easy and equitable access to appropriate services for individuals at all levels of the long-term care spectrum. For providers, it provides a comprehensive picture of the individual and the individual's needs and is intended to facilitate the appropriate placement transfer and exchange of information among providers.

Those identified as meeting nursing facility level of care are afforded the opportunity to choose between services in an institution or home and community based supports (HCBS) including CCC+ waiver and Virginia's Program of All-Inclusive Care for the Elderly (PACE) program.

The screening criteria for assessing an individual's level of care consists of functional capacity (i.e.: ADL's and mobility) and medical or nursing needs. In order to qualify for the CCC+ waiver an individual must meet both of the components and the screening team must also document that the individual is at risk for institutional placement within 30 days in the absence of HCBS.

Functional capacity is the degree of independence that an individual can perform their activities of daily living (ADLs), including ambulation and instrumental ADLs. The functional capacity areas assessed include: bathing, dressing, toileting, transferring, bowel and bladder function, eating/feeding, joint function, ambulation/mobility, medication administration, orientation, cognition and behavior. In order to meet functional capacity eligibility criteria, an individual must meet one of the following categories:

1. Dependent in two to four of the ADLs, and also rated semi-dependent or dependent in Behavior Pattern and Orientation, and also semi-dependent in Joint Motion or dependent in Medication Administration; or
 2. Rated dependent in five to seven of the ADLs and also rated dependent in Mobility; or
 3. Rated semi-dependent in two to seven of the ADLs and also rated dependent in Mobility and Behavior Pattern and Orientation.
- Medical or nursing needs are health needs requiring medical or nursing supervision or care above the level which could be provided through assistance with ADLs, medication administration, and general supervision and is not primarily for the care and treatment of mental diseases.

Medical or nursing supervision or care beyond this level is required when any one of the following describes the individual's need for medical or nursing supervision:

1. Medical or nursing supervision or care beyond this level is required when the individual's medical condition requires observation and assessment to assure evaluation of the individual's need for modification of treatment or additional medical procedures to prevent destabilization, and the individual has demonstrated an inability to self-observe or evaluate the need to contact skilled medical professionals; or
2. due to the complexity created by the individual's multiple, inter-related medical conditions, the potential for the individual's medical instability is high or medical instability exists; or
3. The individual requires at least one ongoing medical or nursing service. Ongoing means that the medical/nursing needs are continuing, not temporary, or where the individual is expected to undergo or develop changes with increasing severity in status.

To meet the hospital level of care, an individual must be chronically ill or severely impaired and require both a medical device to compensate for the loss of a vital body function and substantial ongoing nursing care to avert death or further disability. The requirement for a medical device to compensate for the loss of a vital body function may include one or more of the following categories.

- * Individuals dependent at least part of each day on mechanical ventilators, and
- * Individuals meeting specialized tracheotomy criteria.

The need for substantial and ongoing nursing is determined by the score an individual receives on the Objective Scoring Tool. Individuals must score a minimum 50 in the Technology section of the tool to receive services.

- 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 State Code of Virginia, § 32.1-330 states that all individuals who are requesting community based or nursing facility (NF) long-term care services and supports, require a screening to determine if they meet the level of care needed for NF services. DMAS contracts with the Virginia Department of Health (VDH) and has agreements with Department of Aging and Rehabilitation Services (DARS), and hospitals to conduct level of care screenings. In the community, screeners are locality staff including nurses and physicians from the Virginia Department of Health and family services specialists from DARS and the local departments of social services (Idss). Acute care hospitals utilize discharge planners to complete the screening that is reviewed and signed by a physician.

All screenings include a face-to-face assessment with the individual and family or caregivers, as appropriate, to determine the individuals' needs based on functional criteria, medical and nursing needs, and the risk for placement into an institution in the absence of waiver services. This standardized assessment is documented on the Virginia Uniform Assessment Instrument (UAI), which guides the team in identifying the individual's appropriate LOC requirements based on medical needs and circumstances. The documentation of the face-to-face screening is reviewed by the physician. If services are needed, each member of the screening team must sign the Medicaid Funded Long-Term Care Service Authorization form that identifies the LOC of the individual and deems the information valid for enrollment into the CCC+ Waiver. This process is the same for all populations including those enrolled in FFS, CCC, and CCC+.

DMAS conducts annual level of care re-evaluations to ensure all individuals enrolled in the waiver continue to meet the eligibility criteria to receive waiver services. The MCO or the fee for service provider completes the Level of Care Eligibility Re-determination Instrument (LOCERI) that documents the functional status, medical and nursing needs and physical health of the participant. The MCO or provider submits the information to DMAS through a secure web-portal that is programmed to validate the participant's level of care. In the event that the electronic validation check determines the individual no longer meets the criteria for services, a referral is generated and sent to a DMAS RN and a higher level review and re-determination is conducted. The RN performs an independent assessment and makes a final determination.

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

- ☐ Every three months
☐ Every six months
☒ Every twelve months
☐ Other schedule

Specify the other schedule:




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

- ☐ The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.
☒ The qualifications are different.

Specify the qualifications:

In FFS, information for annual level of care reevaluations is gathered by providers of the individual's primary service. The qualifications of the provider gathering the information is consistent with that of any of the assessors performing initial evaluations.

For individuals using consumer-directed services, the Services Facilitator gathers and reports information to DMAS. Services Facilitators possess at a minimum, either (i) an associate's degree from an accredited college in a health or human services field or be a registered nurse currently licensed to practice in the Commonwealth and possess a minimum of two years of satisfactory direct care experience supporting individuals with disabilities or older adults; or (ii) a bachelor's degree in a non-health or human services field and possess a minimum of three years of satisfactory direct care experience supporting individuals with disabilities or older adults. Services facilitators enrolled with DMAS prior to January 11, 2016 are not required to meet the education requirements specified above but must possess a combination of work experience and relevant education that indicates possession of the knowledge, skills, and abilities as required by DMAS. To demonstrate competency, all services facilitators must complete the DMAS-approved consumer-directed services facilitator training course and pass the corresponding competency assessment with a score of at least 80%.

For individuals enrolled in CCC or CCC+, information is gathered and sent to DMAS by the care coordinator who meets the qualifications consistent with those who perform the initial evaluations.

For both FFS and managed care, DMAS conducts the reevaluation through the use of the LOCERI database. A registered nurse licensed in Virginia makes the final determination of level of care.

- 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*):

DMAS utilizes the LOCERI database to produce notifications when annual level of care reevaluations are due. An email is sent to the MCO or FFS service provider 45 days prior to the reevaluation due date providing notification that the level of care reevaluation is due, including the documentation that must be submitted. Lack of response from the provider or MCO prompts a second written notification at the 45 day deadline requesting the submission of reevaluation documentation within 10 business days. Upon receipt, an analyst reviews the information to assure accuracy. Missing documentation is requested from the provider by telephone or fax and MCO/providers must respond within 48 hours with the requested documentation.

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

The initial level of care screening teams completes and submits the screening through an electronic web portal known as ePAS. The ePAS information is uploaded and maintained in Virginia's Medicaid Management Information System (VAMMIS), this information is stored permanently. Information from annual reevaluations is maintained in the DMAS LOCERI database permanently.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of all new waiver enrollees who have a level of care screening that indicates a need for institutional/waiver services. N: # of new waiver who have level of care indicating appropriate eligibility D: # of new waiver enrollees

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Management Information System (MMIS)

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

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of screenings conducted in a timely manner. N: # screenings conducted by the community based team within 45 days of the initial request D: Number of screenings conducted by community based teams

Data Source (Select one):**Other**

If 'Other' is selected, specify:

e-PAS data

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

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

Data Aggregation and Analysis:

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

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

Performance Measures

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

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of higher level reviews conducted when LOCERI indicates the individual does not meet LOC eligibility. N: # of higher level review completed. D: Total # of LOC reviews that LOCERI data indicates do not meet LOC criteria.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of waiver individuals who did not meet LOC criteria after HLR who were terminated from the waiver after completion of appeal process (if any). N: # of waiver individuals who did not meet LOC criteria after HLR who were terminated from the waiver after completion of appeal process (if any). D: Total # of waiver individuals who did not meet LOC criteria after HLR.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of LOC reviews entered timely in the LOCERI system. N: Number of LOC reviews completed and entered in the LOCERI system within 30 days of the annual LOC due date. D: Number of LOC reviews required.

Data Source (Select one):

Other

If 'Other' is selected, specify:

LOCERI System

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

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

If a problem is discovered, the DMAS Quality Improvement Team (QIT) staff will work with the DMAS Level of Care Unit to implement corrective action.

Individual providers with systemic problems will be targeted for technical assistance/training from DMAS or the MCO. These events and their results will be documented in quarterly reports of technical assistance.

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

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

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of 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).

The screening teams, both community-based and those in the acute care settings notify individuals and their legal representative the choice between institutional and community-based services. This process is documented on the DMAS Recipient Choice Form (DMAS 97- rev. 8/12).

FFS

When the individual chooses community-based services, the team reviews the service options available and provides the individual with a list of providers to choose.

CCC and CCC+

When the individual chooses community-based services, the team sends the information to the appropriate MCO. The MCO contacts the individual and the care coordinator conducts a face to face visit with the individual. During this visit, the individual chooses the services that best meet their needs and is provided a list of providers in the MCO's network. The care coordinator makes the initial visit within five business days of receiving the referral.

- b Maintenance of Forms.** Per 45 CFR §92.42, written copies or electronically retrievable facsimiles of Freedom of Choice forms are maintained for a minimum of three years. Specify the locations where copies of these forms are maintained.

The Recipient Choice Form (DMAS 97) is kept in the individual's case record maintained by the provider.

CCC and CCC+

The Recipient Choice Form (DMAS 97) is kept in the individual's case record maintained by the MCO.

Appendix B: Participant Access and Eligibility

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

Access to Services by Limited English Proficient Persons. Specify the methods that the State uses to provide meaningful access to the waiver by Limited English Proficient persons in accordance with the Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003):

DMAS participates in a state contract for telephone-based interpretation and translation services and is available to individuals seeking information. Forms are available in alternative formats upon request. Language translation services are also available to individuals seeking assistance who contact the DMAS staff. Network Omni is the contractor the Department uses as a part of a contract secured by the State's Information Technology Agency (VITA). The department is billed on a per call basis.

CCC and CCC+

Per 1915(b) waiver requirements, the managed care contractor(s) will be required to provide documents in languages other than English, when five percent of the Medicaid-eligible population is non-English speaking and speaks a common language.

MCOs must provide information to participants on how to access oral interpretation services, free of charge, for any non-English language spoken. [42CFR438.10(c)(5)(i)] MCOs must also provide a multilingual notice that describes translation services that are available and provides instructions explaining how enrollees can access those translation services. The enrollment broker also offers translations services for individuals who call with questions, who wish to change their MCO option, or who wish to enroll in an MCO.

Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	Adult Day Health Care		
Statutory Service	Personal Assistance Services		
Statutory Service	Respite Care Services		
Supports for Participant Direction	Services Facilitation		
Other Service	Assistive Technology		
Other Service	Environmental Modifications		
Other Service	Personal Emergency Response System (PERS)		
Other Service	Private Duty Nursing		
Other Service	Transition Services		

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:

Adult Day Health ▼

Alternate Service Title (if any):

Adult Day Health Care

HCBS Taxonomy:**Category 1:**

04 Day Services ▼

Sub-Category 1:

04050 adult day health ▼

Category 2:

▼

Sub-Category 2:

▼

Category 3:

▼

Sub-Category 3:

▼

Category 4:

▼

Sub-Category 4:

▼

Service Definition (Scope):

Adult Day Health Care (ADHC) means long term maintenance or supportive services offered by a community-based day care program. ADHC provides a variety of health, therapeutic, and social services designed to meet the specialized needs of those waiver individuals who are elderly or who have a disability and who are at risk of placement in a nursing facility. Physical, occupational, and speech therapies indicated in the individual's plan of care may be furnished at the adult day health care center, but is not furnished as a component part of this service.

Transportation between the individual's place of residence and the adult day health care center will not be provided as a component part of the adult day health services. If the adult day health care provider wishes to and is able to provide transportation services to the recipient, DMAS may reimburse the provider for these services.

ADHC Centers must provide at least one meal per day, which supplies one-third of the daily nutritional requirements established by the U.S. Department of Agriculture. Special diets and counseling must be provided as requested or as necessary.

Adult day health care is furnished 6 or more hours per day on a regularly scheduled basis as specified in the service plan.

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

Service Delivery Method (check each that applies):

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Adult Day Health Care Center

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

Service Type: Statutory Service

Service Name: Adult Day Health Care

Provider Category:

Agency ▼

Provider Type:

Adult Day Health Care Center

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

Agency providers of Adult Day Health Care must be licensed by the Virginia Department of Social Services in accordance with 22VAC40-60-320.

MCOs will be required, at minimum, to have providers in their region meet DMAS standards for FFS providers. Agencies must be credentialed through the MCO.

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

The following DMAS special participation standards are imposed in addition to DSS standards and shall be met in order to provide Medicaid adult day health care services:

- a. Provide a separate room or an area equipped with one bed, cot, or recliner for every 12 adult day health care participants;
- b. Employ sufficient interdisciplinary staff to adequately meet the health, maintenance, and safety needs of each participant;
- c. Maintain a minimum staff-to-participant ratio of at least one staff member to every six participants. This includes Medicaid and other participants;
- d. Provide at least two staff members awake and on duty at the ADHC at all times when there are Medicaid participants in attendance;
- e. In the absence of the director, designate the activities director, registered nurse, or therapist to supervise the program;
- f. May include volunteers in the staff-to-participant ratio if these volunteers meet the qualifications and training requirements for compensated employees, and, for each volunteer so counted, include at least one compensated employee in the staff-to-participant ratio;
- g. For any center that is co-located with another facility, count only its own separate identifiable staff in the center's staff-to-participant ratio; and
- h. Employ the following:
 - (1) A director who shall be responsible for overall management of the center's programs. The director shall be the provider contact person for DMAS and the designated preauthorization contractor and shall be responsible for responding to communication from DMAS and the designated preauthorization contractor.
 - (a) The director shall be responsible for assuring the development of the plan of care for adult day health care individuals. The director has ultimate responsibility for directing the center program and supervision of its employees. The director can also serve as the activities director if they meet the qualifications for that position.
 - (b) The director shall assign himself, the activities director, registered nurse or therapist to act as adult day health care coordinator for each participant and shall document in the participant's file the identity of the care coordinator. The adult day health care coordinator shall be responsible for management of the participant's plan of care and for its review with the program aides.
 - (c) The director shall meet the qualifications specified in the DSS standards for adult day health care for directors.
 - (2) Program aides who shall be responsible for overall care and maintenance of the participant (assistance with activities of daily living, social/recreational activities, and other health and therapeutic-related activities). Each program aide hired by the provider shall be screened to ensure compliance with qualifications required by DMAS. The aide shall, at a minimum, have the following qualifications:
 - (a) Be at least 18 years of age or older;
 - (b) Be able to read and write in English to the degree necessary to perform the tasks expected;
 - (c) Be physically able to do the work;
 - (d) Have satisfactorily completed an educational curriculum related to the needs of the elderly and disabled,

consistent with DMAS requirements. Documentation of successful completion shall be maintained in the aide's personnel file and be available for review by DMAS staff who are authorized by DMAS to review these files. Prior to assigning a program aide to a participant, the ADHC shall ensure that the aide has satisfactorily completed an approved training program.

(3) A registered nurse (RN) employed or contracted with the center who shall be responsible for administering to and monitoring the health needs of the participants. The nurse shall be responsible for the planning and implementation of the plan of care involving multiple services where specialized health care knowledge is needed. The nurse shall be present a minimum of eight hours each month at the center. DMAS may require the nurse's presence at the adult day health care center for more than this minimum standard depending on the number of participants in attendance and according to the medical and nursing needs of the participants. Although DMAS does not require that the registered nurse be a full-time staff position, there shall be a registered nurse available, either in person or by telephone, to the center's participants and staff during all times that the center is in operation. The registered nurse shall:

(a) Be registered and licensed as a registered nurse to practice nursing in the Commonwealth; and

(b) Have two years of related clinical experience, which may include work in an acute care hospital, public health clinic, home health agency, rehabilitation hospital, nursing facility, or as an LPN.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Social Services is responsible for the verification of provider qualifications for Adult Day Health Care, according to Virginia Administrative Code requirements for licensing. Provider qualification verifications for ADHC providers reimbursed through DMAS FFS are conducted by the DMAS Provider Enrollment Unit. The Provider Enrollment unit verifies the additional requirements set forth in the Virginia Administrative Code that are in addition to the licensing requirements. Additionally, provider qualifications are verified during Quality Management Reviews (QMR).

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

Providers of Adult Day Health Care are subject to a scheduled licensing review and renewal, depending on the type of license issued. For providers reimbursed through DMAS FFS, the Provider Enrollment Unit verifies provider qualifications initially and periodically every two years.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service ▼

Service:

Personal Care ▼

Alternate Service Title (if any):

Personal Assistance Services

HCBS Taxonomy:

Category 1:

08 Home-Based Services ▼

Sub-Category 1:

08030 personal care ▼

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Personal assistance services include assistance with Activities of Daily Living (ADL): eating, bathing, dressing, transferring, and toileting, including medication monitoring and monitoring of health status and physical condition. This service does not include skilled nursing services with the exception of skilled nursing tasks that may be delegated pursuant to the Virginia Administrative Code 18VAC90-20-420 through 18VAC90-20-460. When specified in the service plan, personal assistance services may include assistance with Instrumental Activities of Daily Living (IADL), such as dusting, vacuuming, shopping, and meal preparation, but does not include the cost of meals themselves. Assistance with IADLs must be essential to the health and welfare of the individual, rather than the individual's family. These services substitute for the absence, loss, diminution, or impairment of a physical, behavioral, or cognitive function.

An additional component to personal assistance is work-related or school-related personal assistance. This allows the personal assistance provider to offer assistance and supports for individuals in the workplace and for those individuals attending post-secondary educational institutions. This service is only available to individuals who require personal assistance services to meet their ADLs. Workplace or school supports through the CCC Plus Waiver are not provided if they are services provided by the Department of Rehabilitative Services, required under IDEA, or if they are an employer's responsibility under the Americans with Disabilities Act of Section 504 of the Rehabilitation Act.

Individuals are afforded the opportunity to act as the employer in the self-direction of personal assistance services. This involves hiring, training, supervision, and termination of self-directed personal assistants.

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

Personal assistance hours are limited to 56 hours per week, 52 weeks per year, for a maximum total of 2,920 hours per year. The Department shall provide for individual exceptions to this limit using criteria based on dependency in activities of daily living, level of care, and taking into account the risk of institutionalization if additional hours are not provided.

This service is not a replacement of PDN services performed by the RN. Personal assistance services may not be provided concurrently with private duty nursing services.

Personal assistance aides may not provide supervision to individuals with skilled needs (not allowed under delegation) which requires professional nursing judgment.

In accordance with the CMS Informational Bulletin issued on July 7, 2014, personal assistance services for individuals under age 21 shall be accessed through the state plan pursuant to ESPDT. Personal assistance services through this waiver shall not be available to individuals under age 21.

Consumer Directed personal assistants are permitted to work up to 40 hours per work week for their employer (waiver participant).

Service Delivery Method (check each that applies):

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

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

- ☐ Legally Responsible Person
☒ Relative
☒ Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Individual	Consumer Directed Personal Assistant
Agency	Personal Care Agency

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Assistance Services

Provider Category:

Individual ▼

Provider Type:

Consumer Directed Personal Assistant

Provider Qualifications

License (specify)

Certificate (specify):

Other Standard (specify):

The consumer directed personal care assistant must:

- 1) Be 18 years of age or older;
- 2) Possess basic reading, writing, and math skills and be able to read and write English to the degree necessary to perform the required tasks;
- 3) Have a valid Social Security Number;
- 4) Have the required skills to perform consumer-directed personal assistance services identified in the individual's service plan;
- 5) Submit to a criminal history record check and when providing services to a minor, submit to a record check under the State's Child Protective Services Registry, which verifies that the personal assistant has not been convicted of crimes described in the Code of Virginia 32.1-162.9:1;
- 6) Be willing to attend training (i.e. safety training) at the request of the individual or family/caregiver;
- 7) Receive periodic tuberculosis screenings;
- 8) Understand and agree to comply with the consumer-directed personal assistance services requirements.

MCOs will be required, at minimum, to require this provider to meet DMAS standards for the FFS system.

Verification of Provider Qualifications

Entity Responsible for Verification:

The contracted fiscal employer agent is responsible for the verification of consumer-directed personal assistant qualifications for both FFS and MCOs. The verification process is monitored by the Department of Medical Assistance Services.

Frequency of Verification:

Provider qualifications are verified initially and upon changes in employment, and during the QMR process.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Assistance Services

Provider Category:

Agency ▼

Provider Type:

Personal Care Agency

Provider Qualifications

License (specify):

Personal care agencies must be licensed by the Virginia Department of Health or have accreditation from any organization recognized by the CMS for the purposes of Medicare certification. Licensing requirements for RNs and LPNs are outlined in Chapter 30 of title 54.1 of the Code of Virginia.

MCOs will be required, at minimum, to require providers in their network to meet DMAS standards for fee for service providers. Agencies must also be credentialed through MCOs.

Certificate (specify):

Other Standard (specify):

The provider agency must employ (or subcontract with) and directly supervise a registered nurse who will provide ongoing supervision of all personal care assistants. The registered nurse must be currently licensed to practice in the Commonwealth of Virginia and meet Virginia Department of Health requirements. Documentation of both license and clinical experience must be maintained in the provider agency's personnel file for review by DMAS staff. There must also be documentation of a positive work history, as evidenced by at least two satisfactory reference checks recorded in the nurse's personnel file. A copy of the nurse's current license must be on file in the personnel record.

Qualifications for individuals who provide personal assistant services through an agency include:

- 1) Physical ability to do the work;
- 2) Ability to read and write English to the degree necessary to perform the required tasks;
- 3) Completion of a minimum 40-hour training curriculum;
- 4) Submit to a criminal history record check and submit to a record check under the State's Child Protective Services Registry, which verifies that the personal assistant has not been convicted of crimes described in the Code of Virginia 32.1-162.9:1.

Fee for Service agencies must possess a Provider Participation Agreement with the Department of Medical Assistance Services.

MCOs will be required, at minimum, to require providers in their catchment area to meet DMAS standards for fee for service providers. Agencies must also be credentialed through MCOs.

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

Personal care services agencies must employ personal care assistants that meet the specified qualifications and demonstrate such to the Virginia Department of Medical Assistance Services via the Provider Enrollment Unit, during the QMR process, and by the Virginia Department of Health during licensure review.

MCOs will be responsible for verifying qualifications of providers in their network.

Frequency of Verification:

Provider qualifications are verified initially and periodically every two years, and during the QMR process.

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

Respite Care Services

HCBS Taxonomy:**Category 1:**

09 Caregiver Support

Sub-Category 1:

09012 respite, in-home

Category 2:

09 Caregiver Support

Sub-Category 2:

09011 respite, out-of-home

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Respite care services are provided to individuals unable to care for themselves and are furnished on a short-term basis because of the absence or need for relief of those primary unpaid caregivers who normally provide care. Respite care services may be provided in the individuals home or place of residence or children's residential respite facility.

Respite service may include skilled nursing care.

Individuals are afforded the opportunity to act as the employer in the self-direction of respite care services with the exception of those requiring skilled nursing respite services. This involves hiring, training, supervision and termination of self-directed care assistants. Individuals choosing to receive services through the CD model may do so by choosing a services facilitator to provide training and guidance needed to be an employer. If the individual is unable to independently manage his/her own CD services, or if the individual is under 18 years of age, a spouse, guardian, adult child or parent of a minor child must serve as the employer on behalf of the individual. Consumer direction is not available to individuals receiving skilled respite services or PDN due to the complex medical needs of the population.

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

Respite care services provided in any setting are limited to a total of 480 hours per recipient per state fiscal year (7/1 - 6/30).

Service Delivery Method (check each that applies):

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Personal Care Agency
Agency	Children's Residential Facility
Individual	Consumer Directed Respite Care Assistant

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

Service Type: Statutory Service

Service Name: Respite Care Services

Provider Category:

Agency

Provider Type:

Personal Care Agency

Provider Qualifications**License (specify):**

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

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

The MCO will serve as or contract out the role of the fiscal management services agent. The fiscal management services agent is responsible for the verification of consumer-directed personal assistant qualifications. The verification process is monitored by the MCO.

Frequency of Verification:

Provider qualifications are verified initially and periodically every two years.

The MCO will, at a minimum, be required to require providers in their catchment area to meet DMAS standards for FFS. Agencies must be credentialed through the MCO.

Certificate (specify):

Certified Nursing Assistant, Geriatric Assistant, or Home Health Assistant

Other Standard (specify):

The provider agency must employ (or subcontract) and directly supervise a registered nurse who will provide ongoing supervision of all personal care assistants. The registered nurse must be currently licensed to practice in the Commonwealth of Virginia and have at least two years of related clinical experience as a registered nurse. Virginia Department of Health licensure requirements must be met. Documentation of both license and clinical experience must be maintained in the provider agency's personnel file for review by DMAS staff. There must also be documentation of a positive work history, as evidenced by at least two satisfactory reference checks recorded in the nurse's personnel file. A copy of the nurse's current license must be on file in the personnel record.

Qualifications for individuals who provide respite care services through an agency include:

- 1) Physical ability to do the work;
- 2) Ability to read and write English to the degree necessary to perform the required tasks;
- 3) Completion of a minimum 40-hour training curriculum;
- 4) Submit to a criminal history record check and submit to a record check under the State's Child Protective Services Registry, which verifies that the personal assistant has not been convicted of crimes described in the Code of Virginia 32.1-162.9:1.

Agencies must possess a Provider Participation Agreement with the Department of Medical Assistance Services.

The MCO will, at a minimum, be required to require providers in their network to meet DMAS standards for FFS. Agencies must be credentialed through the MCO.

Verification of Provider Qualifications

Entity Responsible for Verification:

Respite care services agencies must employ respite care assistants that meet the specified qualifications and demonstrate such to the Virginia Department of Medical Assistance Services via the Provider Enrollment Unit, during the QMR process, and by the Virginia Department of Health during licensure reviews.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

Provider qualifications are verified initially and periodically every two years, and during the QMR process.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite Care Services

Provider Category:

Agency 

Provider Type:

Children's Residential Facility

Provider Qualifications

License (specify):

The Children's Residential Facility must be licensed by the Department of Behavioral Health and Developmental Services as a Children's Residential Facility as a respite provider for children with Intellectual Disability.

Certificate (specify):

Other Standard (specify):

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS. Additionally, participating agencies must be credentialed by the MCO.

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

DBHDS Office of Licensing verifies that Children's Residential Facilities meet the licensing standards. DMAS verifies qualifications initially and periodically every two years.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

DMAS will verify provider qualifications initially and every two years and through the QMR process.

DBHDS Office of Licensing staff may conduct unannounced onsite reviews of licensed providers at any time and at least annually to determine compliance with licensing regulations.

CCC and CCC+


Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

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

Service Type: Statutory Service

Service Name: Respite Care Services

Provider Category:

Individual 

Provider Type:

Consumer Directed Respite Care Assistant

Provider Qualifications

License (specify):



Certificate (specify):



Other Standard (specify):

The consumer-directed respite care assistant must:

- 1) Be 18 years of age or older;
- 2) Possess basic reading, writing, and math skills and be able to read and write English to the degree necessary to perform the required tasks;
- 3) Have a valid Social Security Number;
- 4) Have the required skills to perform consumer-directed respite care services identified in the individual's plan of care;
- 5) Submit to a criminal history record check, and when providing services to a minor child submit to a record check under the State's Child Protective Services Registry, which verifies that the personal assistant has not been convicted of crimes described in the Code of Virginia 32.1-162.9:1;
- 6) Be willing to attend training (i.e. safety training) at the request of the individual or family/caregiver;
- 7) Receive periodic tuberculosis screenings;
- 8) Understand and agree to comply with the consumer-directed respite care services requirements.

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

The contracted FE/A is responsible for the verification of consumer-directed respite care assistant qualifications for both FFS and MCOs. The verification process is monitored by the Department of Medical Assistance Services.

Frequency of Verification:

Provider qualifications are verified initially and during the QMR process.

Appendix C: Participant Services**C-1/C-3: Service Specification**

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

Service Type:

Supports for Participant Direction ▼

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

Support for Participant Direction:

Information and Assistance in Support of Participant Direction ▼

Alternate Service Title (if any):

Services Facilitation

HCBS Taxonomy:**Category 1:**

12 Services Supporting Self-Direction ▼

Sub-Category 1:

12020 information and assistance in support of self-direction

Category 2:

▼

Sub-Category 2:

▼

Category 3:

▼

Sub-Category 3:

▼

Category 4:

▼

Sub-Category 4:

▼

Service Definition/Scope

Services facilitation is a function that assists the individual (or the individual's family or representative, as appropriate) in arranging for, directing, and managing their own waiver services. Serving as the agent of the individual or family, the service is available to assist in identifying immediate and long-term needs, developing options to meet those needs, accessing identified supports and services, and training the individual/family to be the employer. Practical skills training is offered to enable families and individuals to independently direct and manage their waiver services. Examples of skills training include providing information on recruiting and hiring personal care workers, managing workers and providing information on effective communication and problem-solving. The service/function includes providing information to ensure that individuals understand the responsibilities involved with directing their services. The extent of the assistance furnished to the individual or family is specified in the service plan. This service does not duplicate other waiver services.

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

▲

▼

Service Delivery Method (check each that applies):

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Services Facilitator

Appendix C: Participant Services

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

Service Type: Supports for Participant Direction

Service Name: Services Facilitation

Provider Category:

Agency ▼

Provider Type:

Services Facilitator

Provider Qualifications

License (specify):

A SF that is a registered nurse must be licensed by the Board of Nursing.

Certificate (specify):

Other Standard (specify):

Services facilitators shall possess at a minimum, either (i) an associate's degree from an accredited college in a health or human services field or be a registered nurse currently licensed to practice in the Commonwealth and possess a minimum of two years of satisfactory direct care experience supporting individuals with disabilities or older adults; or (ii) a bachelor's degree in a non-health or human services field and possess a minimum of three years of satisfactory direct care experience supporting individuals with disabilities or older adults.

Services facilitators enrolled with DMAS prior to January 11, 2016 are not required to meet the education requirements specified above.

All services facilitators must complete the DMAS-approved consumer-directed services facilitator training course and pass the corresponding competency assessment with a score of at least 80%.

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS.

Additionally, participating agencies must be credentialed by the MCO.

Verification of Provider Qualifications

Entity Responsible for Verification:

DMAS verifies qualifications of services facilitators through the Provider Enrollment Unit.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

Provider qualifications are verified initially and every two years, and during the QMR process.

CC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service ▼

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

Service Title:

Assistive Technology

HCBS Taxonomy:

Category 1:

14 Equipment, Technology, and Modifications ▼

Sub-Category 1:

14031 equipment and technology ▼

Category 2:

▼

Sub-Category 2:

▼

Category 3:

▼

Sub-Category 3:

▼

Category 4:

▼

Sub-Category 4:

▼

Service Definition (Scope):

"Assistive Technology" is specialized medical equipment, supplies, devices, controls, and appliances not available under the State Plan for Medical Assistance, which enable individuals to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live, or which are necessary to their proper functioning. Assistive technology devices must be portable.

The equipment and activities are:

- 1) Specialized medical equipment, ancillary equipment, and supplies necessary for life support not available under the State Plan for Medical Assistance;
- 2) Durable or nondurable medical equipment and supplies (DME) not available under the State Plan for Medical Assistance;
- 3) Adaptive devices, appliances, and controls not available under the State Plan for Medical Assistance which enable an individual to be more independent in areas of personal care and activities of daily living; and
- 4) Equipment and devices not available under the State Plan for Medical Assistance, which enable an individual to communicate more effectively.

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

Limit

This service must be service-authorized. It is limited to \$5,000 per service plan year and may not duplicate any same plan year.

Individuals under the age of 21 will receive this service under the state plan pursuant to EPSDT in compliance with the CMS Informational Bulletin issued on July 7, 2014.

Service Delivery Method (check each that applies):

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Assistive Technology Provider

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

Service Type: Other Service

Service Name: Assistive Technology

Provider Category:

Agency ▼

Provider Type:

Assistive Technology Provider

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

A provider may either expand its current DMAS Participation Agreement or MCO provider agreement to provide Assistive Technology or obtain a Durable Medical Equipment (DME) Provider Agreement with DMAS or the MCO. DMAS and MCOs contract directly with DME providers which routinely provide specialized medical equipment and supplies in accordance with the Virginia State Plan for Medical Assistance. Providers that supply assistive technology for an individual may not perform assessment/consultation, write specifications, or inspect the assistive technology for that individual. Providers of services may not be spouses or parents of the individual. Assistive technology must be delivered with the service authorization dates in the service plan time frame.

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS. Additionally, participating agencies must be credentialed by the MCO.

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

DMAS verifies provider qualifications through the Provider Enrollment Unit.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

DMAS verifies qualifications initially and every two years and periodically during QMR.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services**C-1/C-3: Service Specification**

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

Service Type:

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

Service Title:

Environmental Modifications

HCBS Taxonomy:**Category 1:**

Sub-Category 1:

Category 2:

Sub-Category 2:

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

▼

▼

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

▼

▼

Service Definition (Scope):

Environmental modifications are physical adaptations to an individual's home or place of residence, which provide direct medical or remedial benefit to the individual. These adaptations are necessary to ensure the health, welfare, and safety of the individual, or enable the individual to function with greater independence in the home. All services shall be provided in accordance with applicable state or local building codes.

The modifications and activities are:

- 1) Physical adaptations to a house or place of residence necessary to ensure an individual's health or safety, e.g., installation of specialized electric and plumbing systems to accommodate medical equipment and supplies.
- 2) Physical adaptations to a house or place of residence that enable an individual to live in a non-institutional setting and to function with greater independence, i.e., grab bars, widening of doorways, modifications of bathroom facilities.

Home accessibility adaptations cannot be provided to adapt living arrangements that are owned or leased by providers of waiver services.

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

Environmental modifications shall be covered in the least expensive, most cost effective manner. They are limited to \$5,000 per calendar year and cannot increase the square footage of the place of residence except when necessary to complete an adaptation. All modifications must be service authorized by DMAS and its contractor. This service cannot duplicate any modifications provided in the same plan year. The date of the service claim must be within the prior authorization dates, which may be prior to the delivery date as long as the initiation of services commenced during the approval dates.

Service Delivery Method (check each that applies):

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Environmental Modification Provider

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

Service Type: Other Service

Service Name: Environmental Modifications

Provider Category:

Agency ▼

Provider Type:

Environmental Modification Provider

Provider Qualifications

License (specify):

▲▼

Certificate (specify):

▲▼

Other Standard (specify):

Providers must have a current DMAS Participation Agreement to provide environmental modifications as a durable medical equipment provider. DMAS will permit only a provider to bill for Medicaid reimbursement for environmental modifications provided by individuals or companies contracted by the provider to make the

necessary modifications.

The contractor must:

- 1) Comply with all applicable state and local building codes;
- 2) If used previously by the provider, have satisfactorily completed previous environmental modifications; and
- 3) Be available for any service or repair of the environmental modifications.

Providers may not be spouses or parents of the individual. Modifications must be completed within the service plan time frame.

It is possible that the services of any or all of the following four professions may be required to complete one modification:

- 1) A Rehabilitation Engineer;
- 2) A Certified Rehabilitation Specialist;
- 3) A building contractor; or
- 4) A vendor who supplies the necessary materials.

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS.

Additionally, participating agencies must be credentialed by the MCO.

Verification of Provider Qualifications

Entity Responsible for Verification:

DMAS verifies qualifications via the Provider Enrollment Unit.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

DMAS verifies qualifications initially, every two years and periodically through the QMR process.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service ▼

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

Service Title:

Personal Emergency Response System (PERS)

HCBS Taxonomy:

Category 1:

14 Equipment, Technology, and Modifications ▼

Sub-Category 1:

14010 personal emergency response system (PERS) ▼

Category 2:

▼

Sub-Category 2:

▼

Category 3:

▼

Sub-Category 3:

▼

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

▼

▼

Service Definition *(Scope)*

PERS is an electronic device that enables certain individuals at high risk of institutionalization to secure help in an emergency. The individual may also wear a portable "help" button to allow for mobility. The system is connected to the person's phone and programmed to signal a response center once a "help" button is activated. PERS services are limited to those individuals who live alone, or who are alone for significant parts of the day, and have no regular caregiver for extended periods of time. When medically appropriate, the PERS device can be combined with a medication monitoring system to monitor medication compliance.

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

▲
▼

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Personal Emergency Response System Provider

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Personal Emergency Response System (PERS)****Provider Category:**

Agency ▼

Provider Type:

Personal Emergency Response System Provider

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

▲
▼

Certificate *(specify):*

▲
▼

Other Standard *(specify):*

A PERS provider may be a certified home health or personal care agency, a long-term home health care program, a hospital, or any other entity capable of providing PERS services either directly or through subcontracts.

A PERS provider may also be a monitoring agency that is capable of receiving signals for help from an individual's PERS equipment 24 hours per day, seven days per week; determining whether an emergency exists; and notifying an emergency response organization or an emergency responder that the PERS individual needs emergency help.

A PERS provider must comply with all applicable Virginia statutes and all applicable regulations of DMAS and all other governmental agencies having jurisdiction over the services to be performed.

The PERS provider has the primary responsibility to furnish, install, maintain, test, and service the PERS equipment as required, as well as to appropriately respond to signals for help.

- a) The PERS provider must properly install all PERS equipment into a PERS individual's functioning telephone line and must furnish all supplies necessary for installing this equipment;
- b) A PERS provider must maintain all installed PERS equipment in proper working order;

- c) A PERS provider must maintain a data record for each PERS individual at no additional cost to DMAS;
 d) The PERS provider must provide an emergency response center staffed with trained emergency response operators available on a 24-hour basis, 365 days per year. The PERS provider must ensure that the monitoring agency is able to respond to the individual when an individual signals for help.

Standards for Monitoring Agencies. Monitoring agencies must be capable of continuously monitoring and responding to emergencies under all conditions, including power failures and mechanical malfunctions. It is the PERS provider's responsibility to assure that the monitoring agency and the agency's equipment meet all requirements. The agency must ensure 24 hour staffing of the monitoring agency and ensure that monitoring agency staff is fully trained regarding responsibilities when the monitoring agency receives signals for help from an individual's PERS equipment. The monitoring agency staff will pass a written test administered by the provider pertaining to proper operation of the system and response to emergencies prior to being assigned to the agency.

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS. Additionally, participating agencies must be credentialed by the MCO.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Medical Assistance Services via the Provider Enrollment Unit is responsible for the verification of provider qualifications.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

Verification of provider qualifications occurs initially and periodically every two years.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service ▼

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

Service Title:

Private Duty Nursing

HCBS Taxonomy:

Category 1:

05 Nursing ▼

Sub-Category 1:

05010 private duty nursing ▼

Category 2:

▼

Sub-Category 2:

▼

Category 3:

▼

Sub-Category 3:

▼

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

▼

Service Definition (Scope):

Private duty nursing services consist of individual and continuous care (in contrast to part-time or intermittent care) provided by licensed nurses within the scope of the State's Nurse Practice Act. These services are provided to an individual at home or in a community setting (school.) Services provided to more than one individual in the home will be reimbursed as congregate private duty nursing services where the maximum ratio of nurse to recipient will be 1:2. Private duty nursing services are necessary to prevent institutionalization.

Private duty nursing services are available to individuals who meet one of the following criteria:

An individual must be chronically ill or severely impaired and require both a medical device to compensate for the loss of a vital body function and substantial ongoing nursing care to avert death or further disability. The requirement for a medical device to compensate for the loss of a vital body function may include one or more of the following categories.

- * Individuals dependent at least part of each day on mechanical ventilators, and
- * Individuals meeting specialized tracheotomy criteria.

The need for substantial and ongoing nursing is determined by the score an individual receives on the Objective Scoring Tool. Individuals must score a minimum 50 in the Technology section of the tool to receive services.

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

Private duty nursing is provided up to 112 hours per week and the family assumes responsibility for all care for the rest of the day. This is included but not limited to when the provider agency is unable to provide private duty nursing services. Medicaid reimbursement is not provided for parents(natural/adoptive/legal guardians), spouses, siblings, grandparents, grandchildren, adult children or legal guardians or any other person living under the same roof shall not be reimbursed for Medicaid skilled private duty nursing services. Services may be provided to no more than three waiver individuals in the home at the same time.

In accordance with the CMS Informational Bulletin issued on July 7, 2014, skilled private duty nursing services for individuals under age 21 shall be accessed through the state plan pursuant to ESPDT. Private duty nursing services through this waiver shall not be available to individuals under age 21.

Service Delivery Method (check each that applies):

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Private Duty Nursing Agency

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

Service Type: Other Service

Service Name: Private Duty Nursing

Provider Category:

Agency ▼

Provider Type:

Private Duty Nursing Agency

Provider Qualifications**License (specify):**

Private Duty Nursing Agencies must be licensed as a home health agency by the Virginia Department of Health.

Certificate (specify):

▲
▼

Other Standard (specify):

Employ nursing staff that are either licensed as a practical nurse (under direction of a RN) or a registered nurse with a current and valid Virginia license. Each LPN and RN must demonstrate specialized proficiency with delivery of nursing care to any population which has specialized needs, e.g., a ventilator-dependent individual, prior to assignment to such an individual. Each LPN and RN must demonstrate specialized experience and proficiency with delivery of nursing care to any population which has specialized needs, e.g., a ventilator-dependent individual, prior to assignment to such an individual. Each LPN and RN must meet one of the following requirements: have at least six months of intensive or specialized care experience or successfully complete a comprehensive training program designed to provide intensive or specialized care training and experience.

DMAS has identified stipulated elements that will be required in an appropriate training program. Training must include the following subject areas as related to care being provided: Anatomy and Physiology, Frequently Used Medications, Emergency Management, and Operation of Equipment. During on-site quality reviews by DMAS training documents will be examined to ensure that requirement are met.

Documentation of the private duty nurse's knowledge, skills, and experience in the care of the individuals with special needs and current CPR certification and annual T.B. test must be included in the nurse's personnel file.

Providers must also have a criminal background record check.

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS. Additionally, participating agencies must be credentialed by the MCO.

Verification of Provider Qualifications

Entity Responsible for Verification:

DMAS verifies qualifications via the Provider Enrollment Unit

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

Verifications are performed initially, every two years, and periodically through the QMR process.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service ▼

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

Service Title:

Transition Services

HCBS Taxonomy:

Category 1:

16 Community Transition Services ▼

Sub-Category 1:

16010 community transition services ▼

Category 2:

Sub-Category 2:

Category**Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition/Scope**

Transition services are non-recurring set-up expenses for individuals who are transitioning from an institution or licensed or certified provider-operated living arrangement to a living arrangement in a private residence where the person is directly responsible for his or her own living expenses.

Allowable costs include, and are not limited to:

- Security deposits that are required to obtain a lease on an apartment or home;
- Essential household furnishings (e.g., bed, chair, dining table and chairs, eating utensils, food preparation items, telephone, window coverings) and appliances (e.g., washer, dryer, microwave, refrigerator, stove) that do not convey with the home or apartment;
- Moving expenses required to occupy and use a community domicile;
- Set-up fees or deposits for utility or service access (e.g., telephone, electricity, heating, water);
- Health and safety assurances, such as pest eradication, allergen control or one-time cleaning prior to occupancy;
- Fees to obtain a copy of a birth certification or an identification card or driver's license; and
- Activities to assess need, arrange for and procure needed resources.

Transition services are furnished only to the extent that they are reasonable and necessary as determined through the service plan development process, are clearly identified in the service plan, and the person is unable to meet such expense or when the services cannot be obtained from another source. Transition services do not include monthly rental or mortgage expenses; food; regular utility charges; and/or household items that are intended for purely diversional/recreational purposes. This service does not include services or items that are covered under other waiver services such as chore, homemaker, environmental modifications and adaptations, or specialized supplies and equipment.

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

Services are available for one transition per individual. The total cost of these services shall not exceed \$5,000, per-person lifetime limit coverage of transition costs, and must be utilized within a specified nine-month period to provide assistance with transition expenses.

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

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

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

- ☐ Legally Responsible Person
☐ Relative
☐ Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Transition Coordinator

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

Agency

Provider Type:

Transition Coordinator

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

	 
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Certificate (specify):

	 
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Other Standard (specify):

In addition to meeting the general conditions and requirements for home and community-based care participating providers, transition coordinators must meet the following qualifications:

1. Transition coordinators must be employed by one of the following: a local government agency, a private, non-profit organization qualified under section 26 U.S.C. 501(c)(3), or a fiscal management services agency with experience in providing this service.
2. A qualified transition coordinator must possess a combination of relevant work experience in human services or health care and relevant education that indicates the individual possesses the following knowledge, skills, and abilities at entry level. These must be documented on the transition coordinator's job application form or supporting documentation, or observable in the job or promotion interview.
3. Transition coordinators must have knowledge of aging and the impact of disabilities; be able to conduct individual assessments (including psychosocial, health, and functional factors) and their uses in service planning; have knowledge of interviewing techniques, individuals' rights, local human and health service delivery systems, including support services and public benefits eligibility requirements, principles of human behavior and interpersonal relationships; be able to communicate effectively both orally and in writing; and have knowledge of interpersonal communication principles and techniques, general principles of file documentation, and the service planning process and the major components of a service plan.
4. Transition coordinators must have skills in negotiating with individuals and service providers; observing, filling, and reporting behaviors; identifying and documenting an individual's needs for resources, services and other assistance; identifying services within the established services system to meet the individual's needs; coordinating the provision of services by diverse public and private providers; analyzing and planning for the service needs of the individual; and assessing individuals using DMAS' authorized assessment forms.
5. Transition coordinators must have the ability to demonstrate a positive regard for individuals and their families or designated guardian; be persistent and remain objective; work as a team member, maintaining effective inter- and intra-agency working relationships; work independently, performing position duties under general supervision; communicate effectively, both verbally and in writing; develop a rapport and to communicate with different types of persons from diverse cultural backgrounds, and interview.

Other standard

MCOs at a minimum must require providers in their network to meet DMAS standards and requirements for FFS. Additionally, participating agencies must be credentialed by the MCO.

Verification of Provider Qualifications

Entity Responsible for Verification:

DMAS verifies qualifications via the Provider Enrollment Unit.

CCC and CCC+

MCOs are responsible for provider qualification verifications. Additionally, providers enrolled with MCOs are required to complete the credentialing process as specified in the MCO's contract with DMAS. The credentialing process is conducted in accordance with standards as outlined by NCQA for network development and maintenance.

Frequency of Verification:

Provider qualifications are verified initially and every two years, and during the QMR process.

CCC and CCC+

Providers are re-credentialed by the MCO in accordance with NCQA standards which is at a minimum of every three years.

Appendix C: Participant Services

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

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

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

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

Check each that applies:

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

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

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

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

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

FFS

For participants not yet enrolled in the CCC+ program, the service providers conduct case management functions on behalf of the waiver participants.

CCC and CCC+

Care coordination is provided to individuals enrolled in the CCC and CCC+ programs. The service is provided by the MCO to provide individualized support to program participants. The three levels of care coordination are outlined below:

CARE COORDINATION FOR ALL PARTICIPANTS (INCLUDING DUAL ELIGIBLES)

- Access to a 24 hour/7 days a week nurse help-line;
- Customer service line;
- Offer referrals to Medicare for services and appeals when appropriate;
- Provide information on program options; and
- Referral of participants to appropriate community resources in order to maximize utilization of community resources available in the participant's region.

EXPANDED CARE COORDINATION (FOR INDIVIDUALS IN THE CCC+ WAIVER)

There are currently two levels of expanded care coordination. The levels of support were designed to enable maximum self-direction and flexibility by the CCC+ waiver participant. The first, which is required, is considered the minimum level of expanded care coordination that requires CCC+ Waiver recipient participation. The second level provides additional support to CCC+ waiver participants if they choose to have this level of support.

Required MCO Care Coordination for All CCC+ Participants -

CCC+ waiver participants must participate in the following activities with their care coordinator:

- Conduct health risk assessments
- Performing annual level of care re-evaluations and service plan updates to ensure necessity of home and community-based long-term care services and to identify unmet medical or social needs;
- Coordination with social service agencies (e.g., local departments of health and social services); and
- Monitoring of services provided; and
- Maintaining and monitoring individual service records.
- Coordination of the Interdisciplinary Care Team (ICT)

Optional MCO Care Coordination for CCC+ participants -

CCC+ waiver participants may choose to have the MCO care coordinator provide additional supports through the following activities:

- Setting up appointments;
- Setting up transportation;
- Shepherding medical/long-term care information between providers;
- Participating in discharge planning (to include nursing facility discharge), when appropriate, to ensure awareness of and access to community based services;
- Providing a point person for recipients and caregivers; and
- Coordination with Medicare services if individual is enrolled in MCO's Medicare plan.

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):

Positions that are required to receive a criminal history check are:

Personal Assistants
Respite Care Assistants
Adult Day Health Care Workers
Registered Nurse
Services Facilitators
Licensed Practical Nurse

The scope of the investigation includes a Virginia State Police Criminal History Records Check. All agency providers licensed by the Virginia Department of Health must demonstrate that criminal records checks have been completed as a part of the annual licensing process. All agency providers must also demonstrate the completion of criminal records checks as a part of the enrollment process for a DMAS Provider Participation Agreement. For consumer-directed services, the contracted Fiscal Employer Agent (FE/A) is responsible for conducting criminal records checks for attendants and this process is ensured by the DMAS Contract Monitor. Staff records are reviewed for an appropriate criminal history check as part of the Quality Management Review (QMR) process

DMAS requires that criminal background checks be requested to the Virginia State Police prior to the start of employment with additional supervision provided to the employee until the records check results are received, typically within 30 days.

- b. Abuse Registry Screening.** Specify whether the State requires the screening of individuals who provide waiver services through a State-maintained abuse registry (select one):

☐ **No. The State does not conduct abuse registry screening.**

☒ **Yes. The State maintains an abuse registry and requires the screening of individuals through this registry.**

Specify: (a) the entity (entities) responsible for maintaining the abuse registry; (b) the types of positions for which abuse registry screenings must be conducted; and, (c) the process for ensuring that mandatory screenings have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

The Virginia Department of Social Services maintains a Child Protective Services Abuse Registry. Screenings via this registry must be completed for Personal Care Assistants and Respite Care Assistants providing care to children.

All agency providers licensed by the Virginia Department of Health must demonstrate that CPS registry checks have been completed as a part of the annual licensing process. All agency providers must also demonstrate the completion of CPS registry checks as a part of the enrollment process for a DMAS Provider Participation Agreement. For consumer-directed services, the contracted FE/A is responsible for conducting CPS registry checks for attendants working with minor children and this process is ensured by the DMAS Contract Monitor.

DMAS requires that CPS registry checks be requested prior to the start of employment with additional supervision provided to the employee until the records check results are received, typically within 30 days.

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).**

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

Facility Type	
---------------	--

Facility Type	
Children's Residential Facility	

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

The facility must provide a safe and secure, home-like environment for waiver individuals. Personalized care must be furnished to individuals in a way that fosters independence, provides access to resources and activities in the community and is person-centered to promote dignity and respect of the individual.

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Children's Residential Facility

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Adult Day Health Care	<input type="checkbox"/>
Personal Emergency Response System (PERS)	<input type="checkbox"/>
Private Duty Nursing	<input type="checkbox"/>
Assistive Technology	<input type="checkbox"/>
Services Facilitation	<input type="checkbox"/>
Environmental Modifications	<input type="checkbox"/>
Respite Care Services	<input checked="" type="checkbox"/>
Transition Services	<input type="checkbox"/>
Personal Assistance Services	<input type="checkbox"/>

Facility Capacity Limit:

unknown

Scope of Facility Standards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

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

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




Appendix C-2: Participant Services

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

- d. Provision of Personal Care or Similar Services by Legally Responsible Individuals.** A legally responsible individual is any person who has a duty under State law to care for another person and typically includes: (a) the parent (biological or adoptive) of a minor child or the guardian of a minor child who must provide care to the child or (b) a spouse of a waiver participant. Except at the option of the State and under extraordinary circumstances specified by the State, payment may not be made to a legally responsible individual for the provision of personal care or similar services that the legally responsible individual would ordinarily perform or be responsible to perform on behalf of a waiver participant. *Select one:*

- ☒ **No. The State does not make payment to legally responsible individuals for furnishing personal care or similar services.**
☐ **Yes. The State makes payment to legally responsible individuals for furnishing personal care or similar services when they are qualified to provide the services.**

Specify: (a) the legally responsible individuals who may be paid to furnish such services and the services they may provide; (b) State policies that specify the circumstances when payment may be authorized for the provision of *extraordinary care* by a legally responsible individual and how the State ensures that the provision of services by a legally responsible individual is in the best interest of the participant; and, (c) the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 the personal care or similar services for which payment may be made to legally responsible individuals under the State policies specified here.*




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

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

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

When the relative lives under the same roof as the individual, the individual's record must include documentation that provides adequate justification that no other provider is available or suitable to provide care and that payment to a relative for services is the option of last resort. All personal care and/or respite care services provided by an individual's relative(s) must be authorized by the service authorization contractor and monitored by the agency RN or services facilitator. Payments to relatives are also monitored through the Quality Management Review process conducted by the Department of Medical Assistance Services. Payment is not made to the parents of minor children who are receiving waiver services or the spouses of individuals who are receiving waiver services. There are no limits on the amount of services that may be furnished by a relative or legal guardian, within the authorized amounts.

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

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




- ☐ **Other policy.**

Specify:




- f. Open Enrollment of Providers.** Specify the processes that are employed to assure that all willing and qualified providers have the opportunity to enroll as waiver service providers as provided in 42 CFR §431.51:

All providers may access enrollment via telephone, postal mail, or web-based contact with the Department of Medical Assistance Services and its contractor for provider enrollment. There is no fee for provider application or enrollment. Interested providers submit an application and supporting documentation to DMAS' Provider Enrollment Unit, who processes the application and issues a provider enrollment number within 15 business days, when all criteria are met. All Medicaid enrolled personal care agency providers must be licensed by the Virginia Department of Health or have accreditation from any organization recognized by CMS for the purposes of Medicare certification.

CCC and CCC+

The MCOs are not required to contract with all willing providers; however, its network must meet adequacy requirements in accordance with 42 CFR §438.68, when establishing and maintaining its network

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. Methods for Discovery: Qualified Providers

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of licensed/certified provider agency direct staff who have satisfactory criminal background checks N:#licensed/certified provider direct staff who have crim. background check with satisfactory results following initial enrollment with MCO D: total #licensed/certified provider agency direct staff records reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

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

	<input checked="" type="checkbox"/> Continuously and Ongoing	<input checked="" type="checkbox"/> Other Specify: 100% of staff whose names appear in the records reviewed during the QMR
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of licensed/certified waiver agency providers for which appropriate licensure/certification were obtained in accordance with requirements prior to service provision. N:# new waiver agency providers meeting required licensure/certification before service provision D:total #new waiver providers with licensure/certification requirements

Data Source (Select one):**Other**

If 'Other' is selected, specify:

VAMMIS

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

The provider enrollment contractor		
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:
	<input type="checkbox"/> Other Specify: 	

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

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
	Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="text-align: right;"> </div>

Performance Measure:

Number and percent of licensed/certified provider agencies continuing to meet applicable licensure/certification following initial MCO credentialing N: # licensed/certified providers continuing to meet applicable licensure/certification following MCO credentialing D: total # licensed/certified provider agencies reviewed

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Quality Management Review

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95/5
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="text-align: right;"> </div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="text-align: right;"> </div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="text-align: right;"> </div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="text-align: right;"> </div>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify:

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

Performance Measure:

Number and percent of new providers credential by MCOs with the appropriate license/certification as required. N: #new licensed/certified waiver providers credentialed by MCOs with a appropriate license/certification. D: total # new licensed/certified waiver providers credentialed by the MCO

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of providers who submit a corrective action plan within 45 days of the request N: Number of providers who submit corrective action plan within 45 days D: Number of providers required to submit a corrective action plan

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of providers required to submit a corrective action plan that was approved N: Number of providers submitting a corrective action plan that was approved D: Number of provider required to submit a corrective action plan

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

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

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

Performance Measure:

Number and percent of new non-licensed/non-certified credentialed by the MCO, who initially met waiver provider qualifications. N: # new non-licensed/non-certified individual providers credentialed by the MCO, who initially met waiver provider qualifications. D: total # new non-licensed/non-certified individual providers credentialed

Data Source (Select one):

Other

If 'Other' is selected, specify:

MCO Provider enrollment system

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

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

Performance Measure:

Number and percent of new consumer-directed employees who have a criminal background check at initial enrollment. N: # of new consumer-directed employees who have a criminal background check at initial enrollment D: total # new consumer-directed employees enrolled.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<input checked="" type="checkbox"/> Other Specify: Fiscal Employer Agent contractor	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of consumer-directed employees with a failed criminal background check that are barred from employment. N: # of consumer-directed employees who have a failed criminal background who are barred from employment D: total # consumer-directed employees who have a failed criminal background check.

Data Source(Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

- 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:

Number and percent of provider agencies meeting provider staff training requirements. N: # provider agencies meeting provider staff training requirements D: total # provider agencies reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Quality Management Reviews

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input type="checkbox"/> Other Specify: <div></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of services facilitation providers meeting training requirements and passing competency testing as specified in state regulation N: # of services facilitators meeting training requirements D: total # of services facilitators reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of consumer-directed (CD) employers trained, as required, regarding employee management and training. N = Number of CD employers trained as required regarding employee management and training. D = Total CD employer training records reviewed.

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

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95/5
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
Specify: <input type="text"/>	
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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

b. Methods for Remediation/Fixing Individual Problems

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

If DMAS QMR staff or the MCO identifies problems with any of the above measures for a given provider, each deficiency will require a corrective action plan to be developed and implemented by the provider.

Individual providers with systemic problems will be targeted for technical assistance/training from DMAS or the MCO. These events and their results will be documented in quarterly reports of technical assistance.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

- ☒ No
☐ Yes

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

Appendix C: Participant Services

C-3: Waiver Services Specifications

Section C-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.

Please see Module 1, Attachment #2

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Individual Plan of Care

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

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

Specify qualifications:

CCC and CCC+

Care coordination is provided for individuals enrolled in the CCC and CCC+ programs by the MCO. MCO care coordinators provide person-centered individualized support to program participants and develops the overall plan of care.

When the plan of care includes the need for private duty nursing, care coordination is provided by a registered nurse (RN) licensed to practice nursing in Virginia. The RN must have a minimum of one year of related clinical nursing experience with medically complex conditions including those dependent on life sustaining equipment.

For all other Members with LTSS needs (institutional and community-based), the care coordinator shall be either: (i) a RN licensed to practice nursing in Virginia with at least one year of experience as a RN; or (ii) an individual who holds at least a bachelor's degree in a health or human services field and has at least one year of experience working with individuals who are elderly and/or have disabilities.

FFS

For those receiving agency-directed services, the service plan is developed by a RN licensed to practice nursing in Virginia with at least one year of experience as a RN or a Services Facilitator meeting the qualifications as described as follows: Services facilitators shall possess at a minimum, either (i) an associate's degree from an accredited college in a health or human services field or be a registered nurse currently licensed to practice in the Commonwealth and possess a minimum of two years of satisfactory direct care experience supporting individuals with disabilities or older adults; or (ii) a bachelor's degree in a non-health or human services field and possess a minimum of three years of satisfactory direct care experience supporting individuals with disabilities or older adults.

- ☐ **Social Worker**

Specify qualifications:

- ☒ **Other**

Specify the individuals and their qualifications:

For FFS individuals electing to self-direct services, the Services Facilitator is responsible for service plan development.

The Services Facilitator must possess a combination of relevant education and work experience that indicates possession of the knowledge, skills, and abilities as outlined in Appendix C.

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:*

For FFS participants, the individual's service provider develops the person-centered plan of care. At the time of entrance into the waiver, the screening team informs the individual of the services available in the waiver, the individual chooses the services that based on their needs and preferences. The screening team then presents the individual with a list of DMAS enrolled providers of the service in that locality. The individual freely chooses the service provider and a referral is made to the chosen provider. This choice is documented in the electronic Pre-Admission Screening (ePAS) system. The provider meets with the individual and develops the person-centered plan of care based on the information in the assessment completed by the screening team.

Safeguards have been put into place to mitigate any risk of conflict of interest with providers developing service plans. All plans of care are subject to authorization by the DMAS service authorization contractor. The contractor reviews the plan for appropriateness based on the individual's level of care identified in the Uniform Assessment Instrument (UAI). The contractor may approve, deny, or pend request for more information. Services are not reimbursed without the appropriate authorization. Quality Management Review (QMR) conducted by DMAS provides additional monitoring and oversight of service plan development safeguards. All plans are subject to review by the Medicaid agency via the QMR to assure that services are approved and appropriate for the participant. QMR staff determine whether services delivered were appropriate, continue to be needed by the participant, and the type, amount, scope, duration, and frequency of services were necessary and delivered consistent with the service plan. Additionally, QMR staff verifies that the choice of provider and services were offered and documented in the individual's record. DMAS QMR analysts conduct a review of all documentation, which shows the participant's level of care. Visits are conducted on-site and are unannounced.

For members participating in the CCC and CCC+ programs, the person centered plan of care is developed by the care coordinator with input from the individual and the individual's family or caregiver as appropriate. The care coordinator is employed by the MCO and is not a direct service provider. The participant freely chooses services and service providers among those participating in the MCO network. The care coordinator documents the participant's choices in the record.

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.

The participant and any person(s) chosen by the participant is provided with information about available waiver services initially by the screening team. During the initial level of care screening, the participant and any person(s) he/she chooses to participate is actively involved in the process of determining what services and model of service delivery are best suited to meet the participant's needs. The participant is provided options of services and providers and directly chooses those that will best meet his/her needs.

Fee for Service:

Upon receipt of the referral, a registered nurse (RN) (agency-directed services) or a services facilitator(SF) (consumer-directed services) schedules an initial assessment and works with the participant and their family or caregiver as appropriate to develop the plan of care. The participant is encouraged to include whomever he wants to participate in the process, or may elect to exclude whomever he wants. Participants may include other service providers, trusted representatives or anyone the participant chooses. This approach helps to ensure the participant's satisfaction with services, provides health and safety protections by increasing service coordination and ensuring continuity leading to optimal service delivery. The person-centered plan is developed based on the participant's identified and expressed needs and preferences. The plan is developed and the participant reviews the plan and signs that he/she agrees with it. The plan is then submitted to the service authorization contractor for approval.

After the initiation of the plan, the RN or SF makes a home visit at least every 90 days, during which, the services are discussed with the participant. Adjustments are made to the service plan with the input of the participant in the same manner as described in the initial plan.

CCC and CCC+

When an participant is found to be eligible to receive waiver services by the screening team, a referral is made to the MCO informing them that the participant is in need of waiver services. The care coordinator conducts a health risk assessment and works with the participant and family to choose waiver services. The care coordinator provides the participant with a list of providers available to provide services and the participant freely chooses their preferred provider.

Upon receipt of the referral, the chosen provider makes a face to face visit consistent with the process described above for fee for service. puts together an interdisciplinary care team (ICT) based on the participant's identified and expressed support needs and preferences. The participant is encouraged to identify and invite any person that he/she would like to participate. The holistic ICT includes health professions familiar with the participant's support needs including medical, behavioral health, substance use, LTSS and social needs. The ICT ensures the participants supports are integrated and coordinated. The ICT provides input into the plan to ensure it is person-centered and built on the participant's specific preferences and needs, and set up to deliver services with transparency, individualization, respect, linguistic and cultural competence, and dignity. The care coordinator facilitates the individualized care planning process, develops, and maintains the individualized care plan.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (4 of 8)

- d. Service Plan Development Process.** In four pages or less, describe the process that is used to develop the participant-centered service plan, including: (a) who develops the plan, who participates in the process, and the timing of the plan; (b) the types of assessments that are conducted to support the service plan development process, including securing information about participant

needs, preferences and goals, and health status; (c) how the participant is informed of the services that are available under the waiver; (d) how the plan development process ensures that the service plan addresses participant goals, needs (including health care needs), and preferences; (e) how waiver and other services are coordinated; (f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan; and, (g) how and when the plan is updated, including when the participant's needs change. State laws, regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

The screening team performs an initial comprehensive assessment that includes all of the participant's service needs, including non-waiver services on the Uniform Assessment Instrument (UAI) as described in Appendix B. The participant and/or participant's authorized representative, as appropriate, play an active role during this assessment and determination of the level of care required by the participant. The screening team provides information and education about services available including those available through the CCC+ waiver. Each service is discussed in detail and the participant chooses which services would best meet his/her needs. The screening team works with the participant to develop an initial plan of care that outlines the support needs, and preferences of the participant. This initial plan of care as well as the UAI is sent to the MCO or FFS provider as appropriate. If the participant is a current CCC or CCC+ member a referral is made to the MCO (see below for CCC and CCC+ processes).

FFS Process

If the participant is not yet enrolled in a CCC+ MCO, the screening team provides a list of providers and supports for the participant to make a choice of provider agency and/or consumer directed care. Upon the participant's selection of the provider, the screening team forwards all assessment and initial plan of care information to the provider(s).

The FFS service provider schedules an initial face to face assessment visit with the participant. This assessment includes an evaluation of the participant's functional status and needs, health status and needs, support system, and other service-related information. The participant is an active participant during the assessment, which also documents the participant's goals and preferences. The assessment shall be completed and documented on the Community Based Care recipient assessment form (DMAS 99). Information gathered from the assessment including input from the participant and/or the participant's authorized representative, as appropriate, is used in the development of the plan of care for each service. The plan of care takes into account the participant's health status and incorporates the participant's personal preferences regarding service delivery, as well as the participant's community support goals and provides a guideline for the number of service hours a participant will require. The plan includes the tasks to be performed and the amount of time it will take to complete the tasks.

After the plan of care is developed it is sent to the service authorization contractor for approval. The service authorization contractor reviews the proposed plan of care and the assessment to ensure it meets the participant's needs.

While receiving FFS supports, the service provider is responsible for monitoring the plan of care and service provision. For those receiving agency-directed services, a RN monitors service delivery. For those choosing consumer-directed services, a Services Facilitator (SF) monitors service delivery.

The RN or SF conducts face to face visits within 30 days of the initiation of services to ensure that services are being furnished in accordance with the plan of care. The RN or SF assesses the health and safety of the participant including making sure the participant's back-up plan is effective and the participant's needs are being met. If the RN or SF finds that any area of the plan to be ineffective, they must work with the participant and/or the participant's authorized representative, as appropriate, to address the need(s). The RN or SF documents the issue(s) and the methods to address the issue(s) in the participant's record.

Waiver services and services through other means (state plan and/or other sources) are coordinated by the RN or SF and sometimes involve coordination between the RN or SF if the participant opts for a combination of agency-directed and consumer-directed supports.

Implementation responsibilities are determined when the service plan is developed.

CCC and CCC+ Process

For those enrolled in CCC and CCC+, the screening team forwards the UAI and initial plan of care to the MCO. The MCO care coordinator facilitates the individualized care planning process, develops, and maintains the individualized care plan in partnership with the participant and/or the participant's authorized representative, as appropriate. The care planning process begins with a health risk assessment (HRA) conducted by the care coordinator. The HRA encompasses social factors (such as housing, informal supports, and employment), functional, medical, behavioral, cognitive, LTSS, wellness and preventive domains, the participant's strengths and goals, the need for any specialists, community resources used or available for the participant, and the participant's desires related to their health care needs. The HRA includes pertinent information from the UAI and discussion with the participant/representative regarding service needs. The care coordinator provides information and education about available waiver services and waiver providers. The participant chooses the services that meet his/her needs and the care coordinator provides a choice of providers. The participant chooses the providers and referrals are made by the care coordinators to the chosen providers. The care coordinator coordinates other services (state plan services and services furnished through other state and federal program) by providing referrals and connecting the individual with state, local and other community resources.

Each service provider schedules an initial assessment consistent with the FFS process as explained above. Each plan of care is reviewed by the care coordinator and sent to the MCO service authorization entity for approval.

The plan of care is developed at the initiation of waiver services and is updated annually at a minimum or as the support needs of the participant change. Shortly after the HRA is conducted the care coordinator arranges a meeting with the interdisciplinary care

team (ICT). The ICT provides input into the participant care plan and includes the participant, the participant's authorized representative, family/caregiver as appropriate, and anyone the participant would like to include. At a minimum the following professionals are invited to participate in the ICT: primary care provider, waiver service provider, and behavioral health clinician, if indicated. The ICT meets within 30 days of the participant's initial enrollment with the MCO.

The MCO care coordinator provides service coordination and ensures each provider delivers services in accordance with the individualized care plan (ICP). The care coordinator monitors and updates the plan when there is a change in the participant's circumstances. The care coordinator provides on-going monitoring of the ICP.

The MCO care coordinator performs comprehensive face to face routine re-assessments utilizing the HRA tool. Participants receiving skilled private duty nursing receive re-assessments at least every six months; all other waiver participants are re-assessed at least annually. Re-assessments are also conducted when a participant has a significant change in health or functional status or experiences a hospitalization. Upon re-assessment, the participant care plan is reviewed and adjusted to ensure the needs, goals, and preferences of the participant are being met.

The care coordinator will work with the participant to find a time that the individual agrees with to conduct service planning meetings.

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 conducted by the screening team and again by the RN or SF. The risk assessment conducted by the RN/SF is conducted initially, during reassessment visits, and annually. The RN/SF conducts a risk assessment as part of the overall assessment prior to the development of the service plan. The RN or SF evaluates the risks and works with the participant to identify supports to mitigate the risks found and ensures that supports are sensitive to participant's needs and preferences.

Risk assessment is conducted by the RN or SF as a part of the assessment and service plan development. The RN, or SF takes into account the services and supports needed as well as the supports that are already in place to mitigate risk.

For both agency-directed and consumer-directed care, the participant must have a viable back-up plan (e.g. a family member, neighbor or friend willing and available to assist the participant, etc.) in case the personal care or respite care assistant is unable to work as expected or terminates employment without prior notice. This is the responsibility of the participant and family and must be identified in the assessment and service plan. Participants who do not have viable back-up plans are not eligible for services until viable back-up plans have been developed. The RN or SF assists the participant in identifying and selecting individuals that will perform as the back-up caregiver in the event a scheduled assistant cannot provide services.

The participant is supported in selecting a variety of back up measures including, but not limited to, family supports, natural supports in the community, or additional consumer-directed employees.

CCC and CCC+

The process conducted by the MCO care coordinators mirrors the FFS process. In addition, MCO care coordinators conduct health risk assessments initially, annually, and on-going as needed. Risks are evaluated by the Interdisciplinary Care team and supports are put into place to mitigate risks. The care coordinator monitors the effectiveness of the risk mitigation.

DMAS monitors and evaluates and the MCO in the service plan development process and implementation as part of the DMAS contract terms and conditions.

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.

Participants receive a list of service providers from the screening team at the time of initial assessment and determination of eligibility and selection of community-based care. The screening team provides support to the participant in the selection of service providers by encouraging the individual and/or family member to directly contact the provider(s) to ask questions and gain information about the providers' service delivery philosophy and approach.

The RN, and/or SF also assists the participant in identifying providers that best meet the needs of their needs by considering location, number of staff, complaint information, etc.

Individuals have ongoing access to information about available providers by calling DMAS or via the DMAS website provider listing on the website allows an individual to search by the type of service and by locality.

CCC+ and CCC

All CCC+ waiver participants must select from one of the contracted MCOs in six regions and use the provider network within their selected plan. CCC participants select from one of the three contracted MCOs in five regions.

DMAS and the contracted MCOs will have outreach personnel available to assist CCC+ waiver participants and community advocates in obtaining necessary information and providing assistance in navigating through the integrated long-term care and managed care systems.

The screening teams will be provided with enrollment packets that includes MCO information, a comparison chart that contains MCOs available in their area, information on how to access services, enrollee rights, benefits available, time frames for selection, and information on how to request a change from the Managed Care Helpline (the entity through which assignment changes must be made). Participants will also submit their MCO selection to the enrollment broker who will enter them into VaMMIS.

DMAS will monitor the MCOs by reviewing network adequacy on a routine basis, during expansion periods, and as complaints arise. In addition, as a part of the MCO monitoring process, DMAS will review MCO service plans to ensure provider choice was provided to CCC+ waiver participants.

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):

The plan of care is developed by the agency RN or a consumer directed services facilitator. Plans are submitted to the service authorization contractor for review and approval. The service authorization contractor, during the review of the request, ensures that Medicaid regulatory and policy criteria are met, the services are medically necessary, and the individual's health and safety are assured. All service plans are subject to review by the Medicaid agency via the Quality Management Review (QMR) process to assure that services are approved and appropriate for the participant; however, a sampling process is employed to determine the number of records reviewed for each provider.

DMAS employs staff dedicated to the task of conducting provider quality reviews as the integral part of our Quality Management Review (QMR) process. Based on the random sampling methods described, these field staff members conduct unannounced on-site visits with providers on a daily basis.

The purpose of the Quality Management Review (QMR) is to determine whether services delivered were appropriate, continue to be needed by the participant, and the type, amount, scope, duration, and frequency of services were necessary and delivered consistent with the service plan. DMAS analysts conduct QMR of all documentation, which shows the participant's level of care, medical and functional status, and available supports, as well as the individual's satisfaction with services. Visits are conducted on-site and are unannounced.

The QMR visit is accomplished through a review of the participant's record, evaluation of the participant's medical and functional status, and consultation with some of the waiver individuals and family/caregiver (as appropriate). Specific attention is paid to all applicable documentation, which may include service plans, RN supervisory notes, SF notes, daily logs, personal assistant time sheets, progress notes, screening packages, and any other documentation necessary to determine if appropriate services are included in the service plan and delivered accordingly.

CCC and CCC+

The MCO follows processes consistent with the FFS processes. MCOs hire staff to conduct the quality management review process. DMAS maintains oversight of the MCO QMR process through contract monitors employed by DMAS. These monitors will conduct on-site monitoring of MCO staff during reviews as well as desk audits of QMRs.

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 MCO, provider agency or services facilitator. Copies of the service plans are maintained for a minimum of 6 years by the MCO and provider, and are located at the place of business or stored in a secure, retrievable location.

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.

FFS

The RN or SF must monitor service provision as often as needed, but no less than every 90 days. The initial home assessment visit by the RN or SF is conducted to create the plan of care and assess the individual's needs and supports. The RN or SF must return for a follow-up visit within 30 days after the initial visit to re-assess the individual's needs and determine if the services implemented are adequate to ensure the health and welfare of the individual. The RN or SF must monitor the adequacy of the plan of care on an as needed basis, but in no event less frequently than quarterly.

Plan of care and service provision monitoring must include a review of:

- * services being furnished in accordance with the plan of care;
- * access of the services identified in the plan of care by the individual;
- * choice of provider(s) by the waiver individual;
- * individual's needs being met by services identified in the plan of care;
- * back-up plan(s) availability and effectiveness;
- * health, safety, and welfare of the waiver individual;
- * access to services not covered by the waiver, including health care needs.

If issues with any of the above are identified by the RN or SF, it must be documented, including prompt methods for remediation, in the waiver individual's record.

Overall monitoring of service delivery and monitoring by the RN and SF are reviewed by the Department of Medical Assistance Services via Quality Management Review (QMR) and include data collection on how service plan implementation issues are monitored, identified, and reported.

CCC and CCC+

The MCO is responsible for each element of the process described above for FFS. Additionally, the MCO care coordinator conducts additional monitoring activities to ensure the participant's health and safety are maintained. Care coordinators communicate with the participants at least monthly or a frequency as requested by the participant not to exceed every 90 days. Care coordinators monitor the provision of services including outcomes assessing appropriate changes or additions to services and facilitate referrals to participants when needed. Face to face visits are required at least every six months. MCOs are required to maintain community networks of resources available for participants.

- 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:

For FFS participants, the individual's service provider (agency RN or SF) develops the person-centered plan of care. There is no willing and qualified case management entity available to develop the plan of care for FFS participants. The person responsible for the development of the plan of care does not provide direct service for the participant. At the time of entrance into the waiver, the screening team informs the individual of the services available in the waiver, and supports the individual in choosing the services that best meets the individual's needs and preferences. The screening team works with the individual to develop an initial person-centered plan of care. The screening team then presents the individual with a list of DMAS enrolled providers of the service in that locality and explains to the individual their rights to choose any service provider. The individual freely chooses the service provider and the screening team makes the referral to the chosen provider which includes the initial plan of care. This choice is documented in the electronic Pre-Admission Screening (ePAS) system. The provider (Agency RN or services facilitator) contacts the individual and schedules a time with the individual to conduct a face to face visit. The RN/SF reviews the information provided by the screening team and conducts an assessment of the individual and identified any changes in the individual's condition. The RN/SF works with individual and any other person the individual wishes to include developing the person-centered plan of care taking into account the individual's needs, goals, and preferences. The plan of care must be documented on the DMAS 97AB and signed by the waiver participant. The document includes instructions for the participant to appeal to the DMAS agency in the event they disagree with the plan and the provider refuses to make changes. The waiver participant is also free to change service providers at any time.

For participants not yet enrolled in CCC or CCC+, the monitoring of service plan implementation and participant health and welfare are the responsibility of the provider RN or SF and are required as often as every 30 days, but at least every 90 days. Service plans may be changed as often as required to accommodate rapidly changing medical needs. Any changes in services for the participant are submitted to the service authorization contractor for review and authorization. Neither the RN or the SF provide direct waiver services to the participant.

Quality Management Review conducted by the Department of Medical Assistance Services provides additional monitoring and oversight of service plan development and monitoring safeguards.

All service plans are subject to review by the Medicaid agency via the Quality Management Review (QMR) process to assure that services are approved, and appropriate for the individual and that the individual's needs are met. A review of the provider's service plan monitoring activities is conducted during the QMR as well. The purpose of the Quality Management Review (QMR) is to determine whether services delivered were appropriate, continue to be needed by the individual, and the amount and kind of services were required. DMAS analysts conduct QMR of all documentation, which shows the assessments service plan monitoring by the provider. Visits are conducted on-site and are unannounced.

The QMR visit is accomplished through a review of the participant's record, evaluation of the individual's medical and functional status, and consultation with the waiver individual and family/caregiver, as appropriate. Specific attention is paid to all applicable documentation, which may include service plans, RN supervisory notes, Services Facilitator notes, daily logs, personal assistant time sheets, progress notes, screening packages, and any other documentation necessary to determine if the provider is performing services as required, and in the best interests of the waiver individual.

CCC and CCC+

In addition to the process described above for FFS, the MCO care coordinator conducts additional monitoring activities to ensure the participant's health and safety are maintained. The care coordinator does not provide direct waiver services to the participant. The MCO contracts with providers to provide direct services

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of waiver individuals who have service plans that are adequate and appropriate to their needs and personal goals, as indicated in the assessment. N: # of waiver individual's records who have service plans that are adequate and appropriate to their needs and personal goals, as indicated in the assessment D: total # of waiver individual's records reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of providers required to submit a corrective action plan and complies with the request within 45 days. N: Number of providers who submit corrective action plan within 45 days D: Number of providers required to submit a corrective action plan

Data Source (Select one):

Program logs

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Performance Measure

Number and percent of providers required to submit a corrective action plan that was approved N: Number of providers submitting a corrective action plan that was approved D: Number of provider required to submit a corrective action plan

Data Source(Select one):

Program logs

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measures

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

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of individuals whose service plan was revised as needed, to address changing needs. N: # individuals whose service plan was revised as needed, to address changing needs D: total # individual service plans reviewed where the record indicated a change in needs.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCOs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of individuals whose service plan was updated / revised at least annually.

N: # of individuals whose service plan was updated/revised at least annually. D: Total # records reviewed

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCOs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of individuals who received services in the frequency specified in the service plan. N: Number individuals who received services in the frequency specified in the service plan D: total # records reviewed

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other	

	Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
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Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of individuals who received services for the duration specified in the service plan. N: # individuals who received services for the duration, specified in the service plan D: total # records reviewed

Data Source (Select one):**Record reviews, off-site**

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCOs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis

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

Performance Measure:

Number and percent of individuals who received services of the type specified in the service plan. N: # individuals who received services of the type specified in the service plan D: total # records reviewed.

Data Source (Select one):**Record reviews, off-site**

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCOs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of individuals who received services in the scope specified in the service plan. N: # individuals who received services in the scope specified in the service plan D: total # records reviewed

Data Source (Select one):**Record reviews, off-site**

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCOs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of individuals who received services in the amount specified in the service plan. N: # individuals who received amount specified in the service plan D: total # records reviewed

Data Source (Select one):**Record reviews, off-site**

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of individuals whose records documented that choice of waiver providers was provided to the individual. N: total # of records that contain documentation that choice of the waiver providers was offered to the individual D: total # of case management records reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input type="checkbox"/> Other Specify: <div></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify:	

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Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of individuals whose records contain an appropriately completed and signed form that specifies choice was offered among waiver services N: total # of records that contain documentation of choice among waiver services D: total # of records reviewed.

Data Source (Select one):**Record reviews, off-site**

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input type="checkbox"/> Other Specify: <div></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

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

If DMAS QMR staff identifies problems with any of the above measures for a given provider, they each require a corrective action plan to be developed and implemented by the provider. Failure to do so jeopardizes the Medicaid provider agreement.

Individual providers with systemic problems will be targeted for technical assistance/training from DMAS. These events and their results will be documented in quarterly reports of technical assistance.

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

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

c. Timelines

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

☒ **No**

☐ **Yes**

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

Appendix E: Participant Direction of Services

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

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

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

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

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

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

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

Individuals are afforded the opportunity to self-direct personal care and respite care services in the CCC+ Waiver. This Consumer Directed (CD) model of service delivery gives waiver individuals the option to choose to hire, train, supervise and terminate care assistants.

Individuals choosing to receive services through the CD model may elect the service delivery method at the time of waiver entrance or at anytime thereafter. The individual may choose to self-direct all or some of their personal care and respite care services.

The screening team provides information to the potential waiver individual about the CD model of service delivery. If the individual selects the CD model, the screening team provides a list of Services Facilitators to assist in accessing services.

The role of the Services Facilitator includes completing a comprehensive assessment of the individual, working with the individual to develop a person-centered plan of care and providing employer training. Additionally, it is the responsibility of the services facilitator to obtain authorization of services by submitting a request to the service authorization contractor.

If the individual is interested in self-direction but is unable to independently manage his/her own CD services, or if the individual is under 18 years of age, a parent of a minor child or responsible adult must serve as the employer on behalf of the individual. A person serving as the employer of record (EOR) shall not be a paid caregiver, attendant, or SF.

The CD model requires the use of the Fiscal Employer Agent (FEA) contractor. The FEA conducts all payroll functions on behalf of the individual including payment of attendants, and filing of IRS wage withholdings. The FEA also requests and processes criminal background investigations on potential employees. CCC and CCC+ MCOs contract with the state's FEA and follows the same process for participant direction employed by the state.

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

Individuals assessed as having a cognitive disability that may limit or prevent the ability to self-direct services may designate a representative to act as the employer for self-directed care on behalf of the individual.

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

- e. Information Furnished to Participant.** Specify: (a) the information about participant direction opportunities (e.g., the benefits of participant direction, participant responsibilities, and potential liabilities) that is provided to the participant (or the participant's representative) to inform decision-making concerning the election of participant direction; (b) the entity or entities responsible for furnishing this information; and, (c) how and when this information is provided on a timely basis.

The Screening Team provides information about the consumer-directed model of service delivery at the time of the initial level of care screening and service plan development. Individuals electing to self-direct services choose a Services Facilitator (SF) who is responsible for initiating services with the individual.

The SF provides support to individuals and provides the waiver individual with further information about self-direction. The SF, using the Employee Management Manual, must provide training to the individual on the responsibilities of self-direction within seven days of completing the initial comprehensive visit. The SF must also document the training using the DMAS-488 Consumer Directed Individual Comprehensive Training Form. The SF must provide the individual/ Employer of Record a copy of the Employee Management Manual and allow the individual time to evaluate the pros and cons of self-direction and to make a final decision. If the individual chooses to not self-direct, the SF assists the individual in transitioning to agency-directed care.

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:

Waiver individuals have the option to appoint a person to direct care on their behalf by acting as the Employer of Record (EOR). A Consumer Direction Services Management Questionnaire (DMAS 95-Addendum) is completed by the PAS Team when the individual chooses self-direction during the initial screening phase, or the Services Facilitator if self-direction is chosen at a later date. The use of this questionnaire is intended to ensure and document that the waiver individual and the EOR have considered the responsibilities of the role and to assess that the selected person will act in the best interests of the waiver individual. The SF provides employee management training for the EOR and monitors service provision to the waiver individual. Service provision monitoring includes face to face visits no less than quarterly for consumer directed personal care and bi-annually for respite care.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

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

Waiver Service	Employer Authority	Budget Authority
Respite Care Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Personal Assistance Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

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

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

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

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

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

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

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

The waiver service entitled:

- ☒ **FMS are provided as an administrative activity.**

Provide the following information

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

The Department of Medical Assistance Services secured financial management services for the consumer-directed model of service delivery through a competitive Request for Proposal process. DMAS holds a contract with a single fiscal employer agent (FEA).

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

Payment is rendered to the FEA on a monthly billing cycle with a per member per month fee and includes all administrative functions specified in the contract between DMAS and the FEA.

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:

The Fiscal Employer Agent is responsible for requesting criminal background screenings of potential consumer directed employed attendants. Additionally, the FEA requests screenings from the Department of Social Services Child Protective Services Central Registry.

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.

The Department of Medical Assistance Services employs contract monitors to oversee and assess the performance and deliverables of the Fiscal Employer Agent. Payroll system edits are required as a part of the FEA contract and the contract monitors randomly conducts system checks for financial integrity. The contractor's performance is also assessed and evaluated in a bi-annual performance review and documented on a Contract Monitoring Evaluation Form.

Appendix E: Participant Direction of Services**E-1: Overview (9 of 13)**

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

- ☐ **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:

- ☒ **Waiver Service Coverage.** Information and assistance in support of participant direction are provided through the following waiver service coverage(s) specified in Appendix C-1/C-3 (check each that applies):

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Adult Day Health Care	<input type="checkbox"/>
Personal Emergency Response System (PERS)	<input type="checkbox"/>
Private Duty Nursing	<input type="checkbox"/>
Assistive Technology	<input type="checkbox"/>
Services Facilitation	<input checked="" type="checkbox"/>
Environmental Modifications	<input type="checkbox"/>
Respite Care Services	<input type="checkbox"/>
Transition Services	<input type="checkbox"/>
Personal Assistance Services	<input type="checkbox"/>

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

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

Appendix E: Participant Direction of Services**E-1: Overview (10 of 13)**

- k. Independent Advocacy** (*select one*).

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

Describe the nature of this independent advocacy and how participants may access this advocacy:

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

- l. Voluntary Termination of Participant Direction.** Describe how the State accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the State assures continuity of services and participant health and welfare during the transition from participant direction:

Waiver individuals may elect at any time to initiate or discontinue self-directing their care. The individual also may exercise the option of combining agency-directed and consumer-directed care in order to meet his/her service needs. In the event that an individual elects to discontinue self-direction of care, the Services Facilitator will aid the waiver individual in securing services from an agency provider.

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.

If the Services Facilitator or Care Coordinator determines that the health, safety, and welfare of the recipient may be in jeopardy and cannot be mitigated or eliminated, the Services Facilitator will recommend to DMAS that the individual be transitioned from self-directed to agency-directed care. The care coordinator or services facilitator will aid the individual in securing services from an agency provider.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

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

Table E-1-n

Waiver Year	Employer Authority Only		Budget Authority Only or Budget Authority in Combination with Employer Authority		
	Number of Participants		Number of Participants		
Year 1		8915			
Year 2		9907			
Year 3		11091			
Year 4		13056			
Year 5		15221			

Appendix E: Participant Direction of Services

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

- a. Participant - Employer Authority** Complete when the waiver offers the employer authority opportunity as indicated in Item E-1-b:

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

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

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

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

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

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

Specify how the costs of such investigations are compensated:

The contracted Fiscal Employer Agent (FEA) requests and obtains criminal history checks of attendants on behalf of the self-directing waiver individual. The FEA receives reimbursement for the cost of these investigations through the claims billing process.

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

Specify:

Appendix E: Participant Direction of Services

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

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

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

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

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

Specify:

Appendix E: Participant Direction of Services**E-2: Opportunities for Participant-Direction (3 of 6)****b. Participant - Budget Authority**

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

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

Appendix E: Participant Direction of Services**E-2: Opportunities for Participant-Direction (4 of 6)****b. Participant - Budget Authority**

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

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

Appendix E: Participant Direction of Services**E-2: Opportunities for Participant-Direction (5 of 6)****b. Participant - Budget Authority**

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

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

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

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

Appendix E: Participant Direction of Services**E-2: Opportunities for Participant-Direction (6 of 6)****b. Participant - Budget Authority**

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

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

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

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

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

State regulations [12 VAC (Virginia Administrative Code) § 30-110-70 through 30-110-90] and federal regulations [42 CFR (Code of Federal Regulations) § 431] require a "Notice of Appeal Rights" be sent to individuals who have an adverse action related to choice of HCBS versus institutional services, choice of providers, and/or had a Medicaid-covered service denied, reduced, suspended, terminated or not acted upon within required time frames.

The individual must be notified in writing of the right to a hearing and the procedure for requesting a hearing at the time of the application and at the time of any adverse action by DMAS, the PA contractor, the screening team, or the DSS. For applicants and individuals not familiar with English, a translation of the appeal rights understood by the applicant or individual must be included. Appeal rights at the time of any action by DMAS, the service authorization contractor, the screening team, or DSS must be issued at least ten (10) days prior to the date of action, except for specified exceptions. The individual then has (30) days from the date of denial to request an appeal.

When an individual's request for a Medicaid-covered service is denied, reduced, suspended, terminated, or not acted upon within required time frames, DMAS or the provider must send the written notification of the action and the right to appeal the action to the individual.

Unless otherwise specified, written notification must be mailed to the individual or legal guardian at least 10 days prior to the date of action when an agency reduces, suspends, or terminates one or all Medicaid-covered service(s).

When an applicant is denied initial enrollment into the waiver due to not meeting all criteria, the screening team sends a letter to the applicant notifying him of the determination and provides information on how to file an appeal with the Department of Medical Assistance Services.

When a request is submitted to the service authorization contractor that is denied or cannot be fully approved as requested, including dates and units of service, a letter is generated from the Virginia Medicaid Management Information System (MMIS) to the individual stating the requested and approved amounts of service, the reason for the denial or reduction, and information on how to file an appeal with the Department of Medical Assistance Services.

If an individual is terminated from the waiver by DMAS, for reasons other than loss of Medicaid eligibility, a letter is sent to the individual notifying him of the action and provides information on how to file an appeal with the Department of Medical Assistance Services.

Fair hearing rights are applicable for FFS, CCC, and CCC+ participants. Individuals will receive a letter describing their right to continue receiving services while the appeal is under consideration. A copy of notices of adverse actions and the opportunity to request a fair hearing is kept in the participant's record.

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*

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).

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. Critical Event or Incident Reporting and Management Process. Indicate whether the State operates Critical Event or Incident Reporting and Management Process that enables the State to collect information on sentinel events occurring in the waiver program. *Select one:*

- ☒ **Yes. The State operates a Critical Event or Incident Reporting and Management Process** *(complete Items b through e)*
- ☐ **No. This Appendix does not apply** *(do not complete Items b through e)*

If the State does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the State uses to elicit information on the health and welfare of individuals served through the program.

b. State Critical Event or Incident Reporting Requirements. Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the State requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Any suspected instances of abuse, neglect, or exploitation are required by Virginia law to be reported to the Virginia Department of Social Services. Reports can be made by using the 24 hour toll-free hotline or by contacting the Local Department of Social Services in which the individual resides.

The state defines abuse, exploitation, and neglect in the following manner:

Abuse" means the willful infliction of physical pain, injury or mental anguish or unreasonable confinement of an adult. Unreasonable confinement includes physical or chemical restraints, or isolation. Abuse includes wounds, scratches, bruises, burns, verbal assaults, threats, intimidation, broken bones, sprains, dislocations, restraints, seclusion, and sexual abuse.

Exploitation" means the illegal use of an incapacitated adult or his resources for another's profit or advantage.

Neglect" means that an adult is living under such circumstances that he is not able to provide for himself or is not being provided services necessary to maintain his physical and mental health and that the failure to receive such necessary services impairs or threatens to impair his well-being.

Any person may voluntarily report suspected abuse, neglect, or exploitation (in various forms) to Adult Protective Services and Child Protective Services, including staff of financial institutions. Mandated reporters must report suspected abuse, neglect, and exploitation to Adult or Child Protective Services immediately. All providers of EDCD waiver services are identified as mandated reporters. In addition, The Code of Virginia identifies the following groups of persons as mandated reporters:

- a) Any person licensed, certified, or registered by health regulatory boards listed in § 54.1-2503, except persons licensed by the

Board of Veterinary Medicine:

* Board of Nursing: Registered Nurses (RN); Nurse Practitioners (NP); Licensed Practical Nurses (LPN); Clinical Nurse Specialists; Certified Massage Therapists; Certified Nurse Aides (CNA)

* Board of Medicine: Doctors of Medicine, Surgery, Osteopathic Medicine, Podiatry, and Chiropractic; Interns and Residents; University Limited Licensees; Physician Assistants; Respiratory and Occupational Therapists; Radiological Technologists and Technologists Limited; Licensed Acupuncturists; Certified Athletic Trainers

* Board of Pharmacy: Pharmacists, Pharmacy Interns, and Technicians; Permitted Physicians; Medical Equipment Suppliers; Restricted Manufacturers; Humane Societies; Physicians Selling Drugs; Wholesale Distributors; Warehousemen

* Board of Dentistry: Dentists and Dental Hygienists

* Board of Funeral Directors and Embalmers: Funeral Establishments, Services Providers, Directors, and Embalmers; Resident Trainees; Crematories; Surface Transportation and Removal Services; Courtesy Card Holders

* Board of Optometry: Optometrists

* Board of Nursing Home Administrators: Nursing Home Administrators

* Board of Counseling: Licensed Professional Counselors; Certified Substance Abuse Counselors; Counseling Assistants; Certified Rehabilitation Providers; Marriage and Family Therapists; Licensed Substance Abuse Treatment Practitioners

* Board of Psychology: School, Clinical, and Applied Psychologist; Sex Offender Treatment Providers; School Psychologists – Limited

* Board of Social Work: Registered Social Workers; Associate Social Workers; Licensed Social Workers; Licensed Clinical Social Workers

* Board of Audiology and Speech Pathology: Audiologists; Speech-Language Pathologists; School Speech-Language Pathologists

* Board of Physical Therapy: Physical Therapist and Physical Therapist Assistant.

* Any mental health services provider as defined in § 54.1-2400.1;

b) Any emergency medical services personnel certified by the Board of Health pursuant to § 32.1-111.5

c) Any guardian or conservator of an adult

d) Any person employed by or contracted with a public or private agency or facility and working with adults in an administrative, supportive, or direct care capacity

e) Any person providing full, intermittent or occasional care to an adult for compensation, including but not limited to companion, chore, homemaker and personal care workers

f) Any law-enforcement officer

The Virginia Department of Social Services receives and responds to all reports of critical incidents of abuse, neglect or exploitation. Reports are investigated by assigned DSS staff members who must initiate an investigation within 24 hours of report receipt.

DMAS monitors reports from the Virginia Department of Social Services of critical incidences reported to and investigated by the Department.

Other critical events, such as medication errors or falls, are managed and monitored by the agency provider RN or SF. Deaths as a result of a medication error or fall due to suspected abuse or neglect is required to be reported to the medical examiner and law enforcement. Medication errors are reported to the Virginia Department of Health's Department of Licensure or the Department of Health Professions as appropriate.

CCC and CCC+

In addition to the critical incident reporting requirements described above, each MCO has policies and procedures for reporting and management of critical incidents involving participants. These critical incidents include medication errors, severe injury or fall, theft, suspected physical or mental abuse or neglect, financial exploitation, and death of a participant. The policies and procedures that are reviewed and approved by DMAS shall reflect how the MCO identifies, documents, tracks, reviews, and analyzes critical incidents to identify and address potential and actual quality of care and/ or health and safety issues.

The MCO shall regularly review the number and types of incidents (including, for example, the number and type of incidents across settings, providers, and provider types) and findings from investigations (including findings from Adult Protective Services (APS) and Child Protective Services (CPS) (if available); identify trends and patterns; identify opportunities for improvement; and develop, implement and evaluate strategies to reduce the occurrence of incidents.

The MCO shall require its staff and contracted providers to report, respond to, and document critical incidents to the MCO in accordance established requirements. The MCO's critical incident reporting process includes forms to be used to report critical incidents. The maximum timeframe for reporting an incident to the MCO is 24 hours with a follow-up written report within 48 hours.

- c. Participant Training and Education.** Describe how training and/or information is provided to participants (and/or families or legal representatives, as appropriate) concerning protections from abuse, neglect, and exploitation, including how participants (and/or

families or legal representatives, as appropriate) can notify appropriate authorities or entities when the participant may have experienced abuse, neglect or exploitation.

Information is provided by the screening team at initiation of CCC+ Waiver services. Individuals may make a report directly to Adult/Child Protective Services or the Department of Medical Assistance Services or other direct care providers or professionals to register a complaint on his or her behalf. Additionally, individuals receiving services through the consumer directed model receives information from the Services Facilitator regarding abuse, neglect and exploitation and the information is incorporated in the Employer Management Guide.

CCC and CCC+

In addition to the training and information described above, the MCO care coordinator provides education to participants on abuse, neglect, and exploitation.

- d. Responsibility for Review of and Response to Critical Events or Incidents.** Specify the entity (or entities) that receives reports of critical events or incidents specified in item G-1-a, the methods that are employed to evaluate such reports, and the processes and time-frames for responding to critical events or incidents, including conducting investigations.

The Virginia Department of Social Services receives and responds to all reports of critical incidents of abuse, neglect or exploitation. Reports are investigated by assigned DSS staff members who must initiate an investigation within 24 hours of report receipt. Investigations are finalized and closed as soon as possible given the nature and extent of the complaint. The complainant is informed of the investigation disposition (founded or unfounded) at case closure.

Unexplained deaths are considered critical incidents and are reported to DMAS by the MCO. DMAS ensures that these critical incidents are reported to the appropriate authorities for investigation which includes the state medical examiner, the appropriate licensing entity if applicable, or law enforcement when warranted.

CCC and CCC+

The MCO shall regularly review the number and types of incidents (including, for example, the number and type of incidents across settings, providers, and provider types) and findings from investigations (including findings from Adult Protective Services (APS) and Child Protective Services (CPS) (if available); identify trends and patterns; identify opportunities for improvement; and develop, implement and evaluate strategies to reduce the occurrence of incidents.

The MCO shall require its staff and contracted providers to report, respond to, and document critical incidents to the MCO in accordance established requirements. The MCO's critical incident reporting process includes forms to be used to report critical incidents. The maximum timeframe for reporting an incident to the MCO is 24 hours with a follow-up written report within 48 hours.

- 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 Department of Medical Assistance Services is responsible for monitoring the report of and response to critical incidents/events affecting waiver participants through a review of reports provided by the Department of Social Services as well as those provided by the MCO. DMAS receives reports regarding investigations of critical incidents and events from the Virginia Department of Social Services and the MCOs and is reviewed on a quarterly basis by the Quality Improvement Team. The data reports indicates the type of incident investigated and the disposition of the investigation, as well as waiver participant demographics. Recommendations by the Quality Improvement Team regarding incident trends or sentinel events will be made to the Integrated Care Division Director for action.

Unexplained deaths are considered critical incidents and are reported to DMAS by the MCO. DMAS ensures that these critical incidents are reported to the appropriate authorities for investigation which includes the state medical examiner, the appropriate licensing entity if applicable, or law enforcement when warranted.

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:

Licensing entities monitor the prohibition of restraints of seclusion for agency-directed providers during scheduled licensing reviews. The Department of Medical Assistance Services monitors the use of restraints or seclusion by providers of consumer-directed services through CD Services Facilitators on a quarterly basis.

Licensing reviews are conducted periodically but not less than biennially. The SF provides oversight routine and re-assessment visits. Agencies contracted with MCOs in CCC and CCC+ are licensed and undergo licensing reviews not less than biennially.

- ☐ **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:

Licensing entities monitor the prohibition of restrictive interventions for agency-directed providers during scheduled licensing reviews. The Department of Medical Assistance Services monitors use of restrictive interventions by providers of consumer-directed services through CD Services Facilitators on a quarterly basis.

Additionally, MCOs monitor providers to ensure that participants are free from restrictive interventions.

Licensing reviews are conducted periodically but not less than biennially. The SF provides oversight routine and re-assessment visits. Agencies contracted with MCOs in CCC and CCC+ are licensed and undergo licensing reviews not less than biennially.

- ☐ **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:

Licensing entities monitor the prohibition of restrictive interventions for agency-directed providers during scheduled licensing reviews. The Department of Medical Assistance Services monitors use of restrictive interventions by providers of consumer-directed services through CD Services Facilitators on a quarterly basis.

Additionally, MCOs monitor providers to ensure that participants are free from restrictive interventions.

Licensing reviews are conducted periodically but not less than biennially. The SF provides oversight routine and re-assessment visits. Agencies contracted with MCOs in CCC and CCC+ are licensed and undergo licensing reviews not less than biennially.

☐ **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.

In Virginia, DBHDS-licensed providers are required to maintain information about common side effects for each medication prescribed to an individual within that person's record. Staff should be familiar with that information and observant for signs of deleterious side effects. In addition, staff who administer medications are required to learn about side effects as part of the mandatory medication administration training. Staff are trained to seek medical help should side effects or other symptoms of concern be evidenced. The provider is also required to monitor medication errors and develop quality assurance activities in relation to medication errors. These are also monitored by Office of Licensing staff.

All providers seeking DBHDS licensing receive a guidance document from the Office of Licensing regarding health and medical issues. This gives direction regarding such issues as obtaining sufficient medical information prior to accepting an individual into services, providing appropriate care after encounters with the medical system, and monitoring and administering medications.

The DBHDS Office of Licensing conducts frequent monitoring in connection to complicated medication regimens. The Office of Licensing will take negative action (i.e., provisional licenses and pursuit of license revocation) against a provider due to a pattern of serious, medication-related issues. Medication toxicity is considered an injury to the body and, as such, is a reportable event under the Human Rights regulations.

- 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

is (b) the medical staff or medication staff on potentially harmful practices; and, (c) the State agency (or agencies) that is responsible for follow-up and oversight.

DBHDS Office of Licensing and DMAS Quality Management Review staff both target medication regimens when they conduct their on-site provider reviews. Should potentially harmful practices be identified, the provider is required to develop a Corrective Action Plan and submit it to the reviewing agency. Very serious findings regarding medication practices may lead to a provisional license, which entails frequent provider monitoring by Office of Licensing staff. Failure to resolve the issues that led to the provisional license will result in pursuit of license revocation. A provider may hold no more than two consecutive provisional licenses of six months duration each before action to pursue revocation of that license is pursued. DMAS may take action to terminate the DMAS provider agreement as a result of its own reviews or the revocation of a provider's license.

Appendix G: Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

c. Medication Administration by Waiver Providers

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

- ☒ **Not applicable.** *(do not complete the remaining items)*
- ☐ **Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*
- Do not complete the rest of this section**

- ii. **State Policy.** Summarize the State policies that apply to the administration of medications by waiver providers or waiver provider responsibilities when participants self-administer medications, including (if applicable) policies concerning medication administration by non-medical waiver provider personnel. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

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

- ☐ **Providers that are responsible for medication administration are required to both record and report medication errors to a State agency (or agencies).**
- Complete the following three items:*

(a) Specify State agency (or agencies) to which errors are reported:

(b) Specify the types of medication errors that providers are required to *record*:

(c) Specify the types of medication errors that providers must *report* to the State:

- ☐ **Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the State.**

Specify the types of medication errors that providers are required to record:

- iv. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. Methods for Discovery: Health and Welfare

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of participant with indications of safety concerns in which appropriate actions were taken. N: participant with indications of safety concerns in which appropriate actions were taken D: Total number of individual's records with indications of safety concerns.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify:	

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Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of participant's records with indications of abuse, neglect, exploitation or unexplained death documenting appropriate actions taken. N: Number of participant's records with indications of abuse, neglect, exploitation or unexplained death documenting appropriate actions taken D: Total number of participant's records with indications of abuse, neglect or exploitation.

Data Source (Select one):**Record reviews, off-site**

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95% confidence level and 5% confidence interval
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div></div>
	<input type="checkbox"/> Other Specify: <div></div>	

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of unexplained deaths (deaths resulting from other than natural causes) in which appropriate actions were taken n: number of unexplained deaths in appropriate actions were taken d: number of unexplained deaths.

Data Source (Select one):**Critical events and incident reports**

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

- b. *Sub-assurance: The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.*

Performance Measures

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

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

Performance Measure:

Number and percent of participants for whom critical incidents were reported in which appropriate action was taken. N: Number of critical incidents with appropriate action taken
D: Number of critical incidents reported

Data Source (Select one):

Critical events and incident reports

If 'Other' is selected, specify:

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

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

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

Performance Measure:

Number and percent of substantiated APS reports involving participants in which appropriate services were offered. N: # participants offered services as a result of a substantiated APS report D: # substantiated APS reports for participants

Data Source (Select one):**Other**

If 'Other' is selected, specify:

VDSS Databridge

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

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Data Aggregation and Analysis:

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

- c. *Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.*

Performance Measures

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

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

Performance Measure:

Number and percent of participant's records with indications of the use of restrictive interventions (restraints/seclusion) in which the appropriate licensing authorities were notified. N. # participant's records with indications of the use of restraints/seclusion in which the appropriate licensing entity was notified D. # participant's records with indications of the use of restraints/seclusion

Data Source (Select one):

Critical events and incident reports

If 'Other' is selected, specify:

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

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

Data Aggregation and Analysis:

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

- d. **Sub-assurance:** The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.

Performance Measures

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

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

Performance Measure:

Number and percent of participants 20 years and older who had an ambulatory or preventive care visit during the year. N: Number of participants 20 years and older who had an ambulatory or preventive care visit D: Number of participants 20 years and older

Data Source (Select one):

Other

If 'Other' is selected, specify:

NCQA data

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of waiver participants 12 months–19 years of age who had a visit with a PCP. N: Number of participants 12 months - 19 years of age who had a visit with a PCP D: Number of participants 12 months - 19 years of age

Data Source (Select one):**Other**

If 'Other' is selected, specify:

NCQA data

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

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of participants receiving PDN whose records document the participant's knowledge of and ability to use signals and alerts for help in case of an emergency. N: Number of participants receiving PDN whose records document the participant's knowledge of and ability to use signals and alerts for help in case of an emergency D: Number of participants receiving PDN

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

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95/5

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of participants receiving PDN who experience a critical incident (including ventilator-associated pneumonia, central line infections, decubitus ulcers and uti) in which appropriate action was taken. N: Number receiving PDN who experience a critical incident in which appropriate action was taken D: Number receiving PDN who experienced a critical incident

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95/5
<input checked="" type="checkbox"/> Other Specify: MCO	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

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

Data Aggregation and Analysis:

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

- ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible. Each MCO is required to have a critical incident reporting system. MCOs are required to report this information to DMAS on a continuous and on-going basis.

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.

DMAS QMR staff identifies problems with any of the above measures for a given provider, they each require a corrective action plan to be developed and implemented by the provider. Failure to do so jeopardizes the Medicaid provider agreement.

Individual providers with systemic problems will be targeted for technical assistance/training from DMAS. These events and their results will be documented in quarterly reports of technical assistance.

REPORT TO APS or CPS WHEN NECESSARY

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

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

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

c. Timelines

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

☒ No

☐ Yes

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

Appendix H: Quality Improvement Strategy (1 of 2)

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

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

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

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

Quality Improvement Strategy: Minimum Components

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

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

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

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

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

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

Appendix H: Quality Improvement Strategy (2 of 2)

H-1: Systems Improvement

a. System Improvements

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

DMAS conducts quarterly Quality Improvement Team (QIT) meetings that includes quality compliance and monitoring staff from DMAS and the MCOs. The purpose of the QIT is to identify compliance issues and propose systemic improvements to meet quality expectations. Members of the QIT include DMAS quality management and waiver policy development staff as well as quality monitoring staff from each MCO.

MCOs will conduct QMRs and submit data on each performance measure to include compliance rates and any remediation efforts required. This information will be received by DMAS on an on-going basis. The reports from the MCOs along with FFS review data will be aggregated and reviewed on a quarterly basis for analysis and presented at the quarterly QIT meetings.

DMAS and MCO staff members determine provider compliance for each performance measure during the review process. A DMAS staff member is assigned to each performance measure and is tasked with aggregating reported data gathered from the reviews. The staff member performs trend analysis of their assigned measure and makes a report to the QIT along with recommendations on system improvements when the measure consistently falls below the threshold of 86% compliance.

Any performance measure with a compliance rate of 86% or less is discussed during the QIT meeting. The team reviews trends and any contributing factors that may have impacted the compliance rate. Systemic improvement plans are developed when compliance falls below the threshold for three consistent quarters.

Agencies and waiver providers receive immediate feedback at the conclusion of QMR visits. This information is released to participants, families, or other interested parties upon request.

ii. System Improvement Activities

Responsible Party(<i>check each that applies</i>):	Frequency of Monitoring and Analysis(<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Quality Improvement Committee	<input type="checkbox"/> Annually
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Other Specify: <input type="text"/>

b. System Design Changes

- i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the State's targeted standards for systems improvement.

Specific DMAS staff, members of QIT, are responsible for obtaining and analyzing data for each of the performance measures. When system design changes are made, these staff are responsible for analyzing the effectiveness of the change relative to their areas of responsibility, and reporting back to the QIT. As a whole, the QIT reviews the trends and effectiveness of the system changes and determines if further changes are indicated.

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

The Quality strategy is evaluated annually, to ensure that the performance measures, data collection methods, and the quality strategy as a whole are effective and efficient in quantifying the success of meeting CMS assurances.

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability

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

DMAS requires all providers of services to comply with state and federal laws and regulations and holds them accountable for this. While DMAS does not impose an independent audit requirement for participating providers, provider agencies may be required to obtain an independent audit as a part of the licensing process through the Virginia Department of Health. Some provider agencies are exempt from licensing to be approved for payment by the DMAS per section 32.1-162.8 of the Code of Virginia. Providers exempt from licensing remain subject to complaint investigations in keeping with state law. The provider is responsible to provide DMAS all documentation that will verify services were rendered as billed. This would entail both medical and personnel records.

DMAS ensures financial integrity and accountability through multiple processes occurring across several divisions. The Fiscal and Purchases Division is responsible for the timely and accurate processing and recording of financial transactions to include collection of provider and recipient overpayments. The fiscal division is charged with recovering overpayments and verifying proper documentation of the amounts. This division does not perform reviews.

The Internal Audit Division reviews claims for correct billing performing tests on claims in the MMIS for patterns that are anomalies across provider types. The Division focuses on the accurate processing of claims through MMIS to identify possible patterns of fraud, waste abuse. This division uses concurrent auditing of claims to uncover any problems in the waiver, using over 300 checks on a continuous basis before claims are paid. They also review claims after they are paid to identify irregularities in payment patterns.

The Division of Program Integrity conducts financial reviews utilizing internal staff as well as contractors acquired through a competitive procurement process. The Provider Review Unit (PRU) in the Division of Program Integrity investigates allegations of provider aberrant billing practices and potential abuse that result in overpayments of Medicaid benefits. The PRU receives allegations from providers, state agencies, law enforcement agencies, individuals, and other DMAS units. These allegations typically involve misspent funds involving fee-for-service provider issues such as: billing for a service using a code that the provider has previously been instructed not to use, billing for more expensive services or procedures than were actually provided or performed (commonly known as up-coding), billing for services that were never rendered, performing medically unnecessary services, and misrepresenting non-covered treatments as medically necessary covered treatments.

DMAS analyzes provider billing activity to identify providers who have aberrant billing practices such as high percentages of claims billed as high level E&M visits, new patient visits, or billing the maximum units for every patient. Those providers are selected for review. The sample is then taken by selecting a sample of recipients who have these claims and looking at all of those recipients' claims for a given year. DMAS does not have a minimum threshold of recipients of claims. DMAS does not seek to select a representative sample, as we seek to retract only on the identified overpayments, not extrapolate. Only in the case of extrapolation is a representative sample necessary.

The PRU could potentially review any provider group. The unit monitors provider activity; to identify potentially fraudulent or abusive billing practices; develop corrective action plans; and when necessary recommend policy changes to prevent abusive billing practices; and to refer abusive providers to other state agencies. Cases are referred to Medicaid Fraud Control Unit (MFCU) when alleged suspicion of fraud is suspected. The PRU supervisor serves as the liaison to the MFCU and is responsible for reviewing and submitting referrals to the MFCU. The MFCU determines if the case warrants further investigation as fraud.

The PRU conducts on-site and desk reviews of medical and personnel records to determine if services were provided as billed. These reviews also determine if the services were provided by qualified staff members. The PRU utilizes JAVA Surveillance and Utilization Review System (J-SURS). This claims-based data mining software packages is used to determine which providers are exceeding the billing norms for their peer groups.

J-SURS does not determine which review becomes a desk review vs. an on-site audit. The supervisor of the PRU determines which cases will be reviewed by desk review and which cases will be an on-site audit. On-site audits may occur based upon J-SURS information in conjunction with referral information. Additionally, contractors propose a percentage of desk and on site reviews; DMAS approves this proposal prior to audits being conducted.

Cases selected for review are tracked in an Oracle database system. Using this data, management reports can be generated detailing the status of each review. Once providers are selected for review, the PRU supervisor requests a 12 months paid claims history for each provider. The claims history is analyzed to identify the sample of claims to be reviewed. The assigned analyst will request medical records for the sample selected. During this step of the review process, the analyst attempts to identify potential abusive billing practices. At any point in the review process, the services of the Medical Support Unit may be utilized when further clinical input is needed for medical issues.

After reviewing the records, the PRU Analyst completes the review and closes the case if there is no abuse (no billing errors are identified) and send them correspondence indicating such. When billing errors have been identified, a preliminary notification is sent to the provider for input into the preliminary audit findings. The provider is provided an opportunity to respond to the preliminary report as well as submit any additional documentation in support of their paid claims. The analyst will complete the review and an overpayment letter is sent to the provider and recovery is sought regardless of the dollar value. If the provider disagrees, they have the right to appeal.

The provider has four opportunities to provide input to the audit: Preliminary Findings, Request for an Informal Fact Finding Conference (IFFC), Formal Evidential Hearing, and Circuit Court. All are dictated by State regulations and handled by the Department's Appeals Division.

DMAS undergoes an annual independent audit through the Virginia Auditor of Public Accounts, which includes a review of the waiver, to ensure compliance with state and federal accounting practices. The Virginia Auditor of Public Accounts is the entity responsible for conducting the periodic independent audit of the waiver program under the provisions of Single Audit Act. DMAS is also subject to audits from CMS through the medical integrity audits.

CCC and CCC+

The MCO contractor plays a large role in the financial integrity and accountability of the waiver. The MCO provides the department with a copy of its annual audit report required by the Bureau of Insurance at the time it is submitted to the Bureau of Insurance. DMAS reserves the right to require the MCO to engage the services of an outside independent auditor to conduct a general audit of the contractor's major managed care functions performed on behalf of the Commonwealth. The contractor provides the department a copy of such an audit within 30 calendar days of completion of the audit.

The MCO is required to develop a written Program Integrity Plan that defines how the MCO contractor will identify and report suspected fraud, waste, and abuse by network providers and members. This plan is submitted to DMAS annually and must include a process to act as or sub-contract with a contractor for recovery audit purposes. The plan also identifies goals and objectives and describes the processes involved including data mining, software, and audit findings. The MCO submits a quarterly report to DMAS including all activities conducted and findings. The quarterly reports will be reviewed and checked to ensure accuracy. Once the accuracy of the report has been verified, the results from each of the MCOs will be combined into a single report for all participating MCOs and will be shared with all divisions to utilize in their oversight purposes. Particularly, as required under the new CMS Managed Care Regulation, identified/recovered overpayments will be utilized by our Provider Reimbursement Division to make adjustments to the rate-setting data used to set our capitated rates.

Additionally, the MCO is responsible for the credentialing of all providers in the network. DMAS reviews and approves the MCO's Program Integrity Plan to ensure it meets or exceeds the standards used by DMAS for FFS. DMAS reviews on an on-going basis provider dashboards, claims, and utilization for each MCO.

DMAS Program Operations Division checks enrollment against the death file on a monthly basis to identify enrolled individuals for whom a death certificate has been issued. Capitation payments made to managed care organizations (MCOs) for coverage of these individuals in months after their death are retracted from the MCOs. In 2014, DMAS utilized a data analytics contractor to conduct an independent review of payments made on behalf of individuals after their date of death to verify that this process was working correctly. In addition, the DMAS Recipient Audit Unit conducts investigations of all Medicaid recipient groups to identify individuals who do not meet the qualifications for Medicaid enrollment. Individuals determined to be enrolled incorrectly are dis-enrolled and any improperly paid capitation payments are recovered from the Medicaid recipient.

The state will work with the MCO contractor to ensure fiscal integrity. This includes quarterly on-site reviews of the MCO program integrity processes and outcomes, a quarterly collaborative at which the MCOs, MFCU and DMAS discuss fraud, waste and abuse prevention and detection, and review and follow up of referrals made by the MCOs for cases of fraud or other PI issues.

If an issue is referred as "Suspected Provider Fraud", the cases are immediately forwarded on to our Medicaid Fraud Control Unit. In addition, our Provider Review Unit analyzes encounter and FFS claims to determine if that provider's claims data indicates similar FFS billing issues, the Provider Review Unit will schedule an audit of that provider's FFS claims. A summary of this claims analysis is provided to MFCU along with the referral

Appendix II Accountability

Quality Improvement: Financial Accountability

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

a. Methods for Discovery: Financial Accountability Assurance:

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

i. Sub-Assurances:

- a. Sub-assurance: The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.** (Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)

Performance Measures

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

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

Performance Measure:

Number and percent of adjudicated waiver claims that were submitted using the correct rate as specified in the waiver application. N: Number of adjudicated claims submitted using the correct rate. D: Total number of adjudicated claims

Data Source (Select one):

Financial records (including expenditures)

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of rates consistent with the approved rate methodology N: Number of rates consistent with the approved rate D: Number of rates

Data Source (Select one):

Other

If 'Other' is selected, specify:

Encounter data

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

	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
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Data Aggregation and Analysis:

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

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

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.

If a problem is discovered, the assigned DMAS Long-Term Care Quality Improvement Team (QIT) staff will work with the specific DMAS contract monitor and/or the DMAS Information Management Division to identify the specific reasons for improper payments and implement corrective action.

If DMAS staff identifies problems with the above measure for MCOs, a corrective action plan is required to be developed and implemented by the MCO.

If claims have been paid inappropriately, referral is made to DMAS Program Integrity Division for collection of overpayment.

Individual providers with systemic problems will be targeted for technical assistance/training from DMAS. These events and their results will be documented in quarterly reports of technical assistance.

The provider has four opportunities to provide input to the audit: Request for Reconsideration, Request for an Informal Fact Finding Conference (IFFC), Formal Evidential Hearing, and Circuit Court. All are dictated by State regulations and handled by the Department's Appeals Division. To address the education letter upon receipt, the provider has thirty days to submit additional documentation or information to explain their understanding of the regulations and policy. An exit conference is held telephonically with provider. Preliminary report is revised if applicable and then the final report is written. A total of 99 referrals were made in the last fiscal year. This includes both provider and recipient referrals. DMAS does not perform on-site, unannounced visits for payment review. DMAS QMR staff reviews claims submitted by selected providers based on a statistically valid sample of 95/5 confidence level.

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

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

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

c. Timelines

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

☒ No

☐ Yes

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

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

- a. Rate Determination Methods.** In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

The Provider Reimbursement Division is responsible for rate determination and ensures that rates are based on the approved methodologies; are in accordance with authorized funding; and are consistent with economy, efficiency, and quality of care. Rates are part of the state agency fee schedule and are reimbursed on a prospective, fee-for-service basis, with the exceptions discussed below. There is no differentiation between agency-directed and consumer-directed services rate determination. Rates vary by region with higher rates paid for services in Northern Virginia to account for higher wage and other costs compared to the rest of the Commonwealth. In general, rates are adequate to attract a sufficient number of providers to furnish services to individuals. A complete listing of all current waiver services rates are maintained on the DMAS Web site http://www.dmas.virginia.gov/Content_attachments/lte/EDCD_No%20Units_HCBS%20Waiver%20Web%20rate%20SFY%202017%20updated%2007_29_2016_B.pdf and is available to the public for review. Individuals may call DMAS to request a written copy of the rate schedule.

Rates were initially established by considering the rates for similar services and the estimated cost of services. Rates are not increased automatically for inflation, but may be increased if authorized by the state budget. Rates are consistent with economy, efficiency and quality of care.

The method for establishing capitation rates paid to participating plans for persons enrolled in the FAD is outlined in a guidance document published by CMS on February 8, 2013 found at: <https://www.cms.gov/Medicare-Medicaid-Coordination/Medicare-and-Medicaid-Coordination/Medicare-Medicaid-Coordination-Office/Downloads/JointRateSettingProcess.pdf>.

Rates are not increased automatically for inflation but may be increased if authorized by the state budget through the VA General Assembly. Rate increases are subject to funding in the budget. DMAS recommendations, as well as lobbying by providers, recipients and the public are part of the annual legislative budget process. The agency may examine rate adequacy and make recommendations for changes to ensure rates are adequate to attract a sufficient number of providers to furnish services. The agency will solicit public input by convening a stakeholder committee on potential rate changes. Similar services covered by different waivers are paid the same rate across all waivers.

Burns & Associates, Inc. (B&A), a national consultant experienced in developing provider reimbursement rates for home and community based services was engaged to establish independent rate models that are intended to reflect the costs that providers face in delivering a given service. From January 2014 through January 2015, B & A, conducted an in-depth rate methodology study of the services. This study involved surveying a wide variety of public and private waiver providers, examining Bureau of Labor Statistics (BLS) data regarding staff compensation, and other metrics.

DMAS completed the study model framework (DD service rate process) to develop the benchmark rates for personal care, respite care, and private duty nursing for all waivers. For these services, DMAS determined the appropriate BLS labor categories for the direct care worker and applied the median wages based on the BLS Virginia wage survey data. Based on the direct care worker model wages, DMAS applied the appropriate benefit ratios using data from the B&A analysis. Productivity factors and other model inputs were examined and modified to reflect the services provided in the EDCD waiver. The rate models are posted on the DMAS website at http://www.dbhds.virginia.gov/library/developmental%20services/va%20dbhds%20ratemodels_final_rev1_2016_03-22.pdf and were accepted previously for the DD waivers. The percentage for the benchmark rate is calculated by dividing the proposed (current rate with increase) rate by the benchmark rate.

Following the initial development of an updated rate methodology for most services, public comment was solicited, received, compiled and appropriate changes made.

Specific assumptions are made for these various costs, including:

- The wage of the direct support professional
- Benefits for the direct support professional
- The productivity of the direct support professional (to account for non-billable responsibilities)
- Other direct care costs, such as transportation and program supplies
- Agency overhead costs-Agency overhead costs are divided into administrative and program support. Administrative costs are those associated with the operation of an organization, but which are not program-specific. Employees that are typically considered administrative include general management, financial/accounting, and human resource staff. Expenses associated with these staff (e.g., their office space, utilities, etc.) are also considered administrative. Program support costs are expenses that are neither direct care nor administrative. Such activities are program-specific, but not on behalf of an individual member. Examples include staff responsible for training direct care workers, program development, supervision, and quality assurance. Expenses associated with these staff (e.g., their office space, utilities, etc.) are also considered program support. The rate models assume that 11 percent of the total rates support agency administrative costs. Another 10 percent (on average) of the total rate is assumed to cover program support costs. These assumptions were primarily derived from private provider cost data.

In addition to cost assumptions, the rate models include other programmatic assumptions such as staffing ratios. The rate model assumptions are used to construct the fee-for-services rates, but the individual assumptions are not prescriptive to service providers. For instance, providers are not required to pay the wages assumed in the rate models. Rather, providers have the flexibility within the total rate to design programs that meet members' needs, consistent with service requirements and members' individual support plans.

While there is no formal schedule for annual cost of living increases to the rates, the use of detailed and transparent rate models allows for periodic review and adjustment of the rates. For example, if the cost of employer-sponsored health insurance increases, the rate models could be adjusted to account for this particular cost.

Constructing the rate models included several activities, including varied opportunities for public comment:

- Policy goals that could be affected by the rates were identified. These goals included providing adequate funding for direct support professionals' wages, benefits, and training to reduce turnover and professionalize the workforce; and encouraging individualized and person-centered supports, consistent with the home and community based services rule.
- A rate-setting advisory group comprised of providers was convened several times during the rate-setting process to serve as a 'sounding board' to discuss project goals and materials.
- All providers were invited to complete a survey related to their service design and costs.
- Benchmark data was identified and researched, including the Bureau of Labor Statistics' cross-industry wage and benefit data as well as rates for comparable services in other waiver programs.
- Proposed rate models that outline the specific assumptions related to each category of costs were developed.

This rate methodology was used for nursing services, personal assistance services, and respite care services. Using the rate methodology developed by Burns and Associates, DMAS staff developed a rate model for Adult Day Health Care (ADHC) services. The model incorporated a provider survey, site visits, and current BLS data. Comments on the adult day health care rate methodology will be solicited through public notice by February 1, 2017.

This rate methodology was used for all habilitation services (with the exception of individual supported employment), nursing services and personal care, respite care and companion care services. See http://www.dbhds.virginia.gov/library/developmental%20services/va%20dbhds%20ratemodels_final_rev1_2016_03-22.pdf for the final rate models for habilitation services and skilled nursing. Rate models for private duty nursing and personal care, respite care and companion care will be posted to http://www.dmas.virginia.gov/Content_pgs/pr-rsetting.aspx. The adopted rates for habilitation services are being fully funded at the benchmark rate based on the rate methodology. The adopted rates for nursing, personal care, respite care and companion care services are being funded at the following percentages of the benchmark rate. The adopted rate for adult day health care is yet to be determined.

Adopted Rates as a Percent of Benchmark Rates- NOVA/ROS Skilled Nursing Rates- RN -61%/63% LPN -71%/71%; Private Duty Nursing -RN 61%/63% LPN-73%/74%; Personal Care, Respite Care, Companion Care - Agency 65%/67%; Consumer Directed 69%/66%; Adult Day Health Care TBD

For Personal Emergency Response Services, which has low utilization and few providers, the cost-based rates were compared to the rates paid by other states in order to ensure reasonableness. PERS monthly monitoring rates were identified in 1915(c) waivers for persons with DD in all 22 other states that covered PERS for validation. This comparison found that the average rate falls within the third quintile of these other states. The list of states originated from the Waiver Description/Waiver Factsheet info on the CMS website. The estimated costs were taken from Appendix J.

Reimbursement for environmental modifications, and assistive technology is based on approved cost up to a \$5,000 annual limit. Reimbursement for transition services is based on approved cost up to a \$5,000 lifetime limit.

The reimbursement methodology for Services Facilitation (SF) has recently been developed and follows the same model and process as the DD waiver services. The methodology used the same benefits packages and overhead assumptions as in the previous

models and the direct care worker wages came from the BLS data. Staff from DMAS and DBHDS reviewed the productivity and task hour assumptions in the model for reasonability. Rates for SF will not be adjusted. The methodology is available at: http://www.dbhds.virginia.gov/library/developmental%20services/housing/dds_service%20facilitation%20and%20crisis%20supports%20proposed%20rate%20models.pdf

CCC and CCC+

DMAS contracts with the actuarial firm of Price Waterhouse Coopers (PWC) to develop capitation rates for the CCC demonstration and CCC+. The rates are developed using historical fee-for-service (FFS) data taken from recent available experience on the population that is expected to enroll in the program. Rates are developed in an actuarially sound manner and reflect services which are provided under the State plan as well as waiver services that are summarized in this 1915 (c) waiver application. Capitated rates are set following the requirements of 42 CFR 438.6(c). The historical base data is adjusted to reflect any differences in plan benefits between the historical base period and the projection period as well as anticipated savings under the new program. Base data is also adjusted to include any payments that are not processed through the MMIS system. Adjusted base period data is projected forward to the projection period using assumed Medical Cost/Trend Inflation derived from historical experience during the base period. An administrative expense component is developed based on historical experience directly related to the provision of the stated services. The administrative expense component is projected forward and added to the projected claims data to arrive at an actuarially sound capitation rate.

- b Flow of Billings.** Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the State's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:

Provider billings flow directly to the the State's claims payment system, with the exception of those provider billings for consumer-directed services, which are paid through the fiscal employer agent (FEA). Time sheets for personal care and respite attendants are submitted directly to the FEA by the waiver participant. The FEA directly submits payment to the attendant.

CCC and CCC+

Participating MCO plans do not submit billings to the state; DMAS pays capitation payments to participating plans based on DMAS and CMS' determination of eligibility for the FAD and plan enrollment. Capitation payments are made through the same fiscal agent used for the rest of the Medicaid program. Individuals enrolled in the FAD are identified through their benefit package.

Provider billings to the participating plans are made in terms of the provider's contract with the plan.

Billings for services not included in the State's contract for managed care flow directly to the State's claims payment system.

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.)*

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- ☐ **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.)*

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Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

- d. Billing Validation Process.** Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

DMAS assures that, when claims are paid, the individual is Medicaid-eligible at the time the services were rendered and the services being billed are approved services in the plan of care for that individual. First, all services must be authorized by the contracted entity. Secondly, prior to payment, all claims are processed using automated edits that:

- 1) Check for a valid service authorization;
- 2) Verify there is no duplicate billing;
- 3) Verify that the provider submitting claims has a valid participation agreement with DMAS;
- 4) Check for any service limits; and
- 5) Verify individual eligibility.

DMAS' Medicaid Management Information System (MMIS) is an automated claims processing and review system. The MMIS system has built in controls (system edits) to ensure provider billings are in accordance with state and federal regulations prior to claims being approved for payment. Currently there are over 1,550 system edits in the Virginia MMIS, which rejects duplicate claims, and claims for services or service levels that are not authorized under Medicaid policy as example. As a part of claims processing, DMAS also utilizes two products that consists of regularly-updated system edits which prevent improper payments. These packages are Correct Coding Initiative edits which were developed by CMS and Claim Check, a commercial software product. Changes or updates to the MMIS system edits are submitted on an Information Service Request form and reviewed by a MMIS change committee. Upon approval by the committee the changes or updates are programmed. The MMIS is updated quarterly to include the CMS updates to the National Correct Coding Initiative (NCCI) edits. Other covered service and service limit system edits are continually updated as needed due to changes to Virginia Medicaid policies.

DMAS requires service authorization for all services in the plan of care. All services billed are checked to ensure that there is a valid service authorization prior to payment of the claim. Claims that do not have a valid service authorization are denied.

The Program Integrity and Medicaid Fraud Units may be requested to conduct additional review of providers if QMR uncovers egregious errors or suspect practices by the provider.

Pursuant to § 32.1-325.1 of the Code of Virginia, DMAS is required to collect identified overpayments. Repayment must be made upon demand unless a repayment schedule is agreed to by DMAS. When a lump sum cash payment is not made, interest will be added on the declining balance at the statutory rate pursuant to § 32.1-313.1 of the Code of Virginia. Repayment and interest will not apply pending appeal. The DMAS Fiscal Division coordinates the collection of any payments due to DMAS.

Capitation payments to participating plans are paid through an approved MMIS. Providers not included in the State's contract for managed care are paid through the same fiscal agent services used for the Medicaid FFS program.

CCC and CCC+

MCOs are responsible for claims verification and must maintain records for at least three years. In addition, MCOs must certify encounter claims that are submitted to DMAS.

- 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:

a. Consumer-directed payroll for personal care and respite services are paid through the Fiscal Employer Agent contractor. The waiver individual directly submits attendant time sheets to the contractor, which processes the billing and makes payment directly to the care attendant. The claim information is captured in the contractor's database system to satisfy

reporting requirements to CMS and are subject to all audit and accounting oversight measures.

The administrative activity is a per member per month fee and includes the contractor's direct and indirect costs. Direct costs include staffing, project supplies and materials, facilities, software, equipment, telecommunications, postage, printing, and subcontracts. Indirect costs include administrative staffing and services, general purpose equipment, facilities, telecommunications and general use office supplies.

DMAS employs contract monitoring staff within the Division of Long-Term Care to provide ongoing oversight for the administration of the contract for fiscal management services. The vendor provides a bi-weekly payroll register documenting the individual payments associated with eligible waiver individuals for each service provided to the individual by qualified assistant(s) for the pay period. DMAS staff authorize each voucher for payment through DMAS's Fiscal and Purchases Division for generation of payment through the Virginia Department of Accounts. The payroll process is subject to random audit through the various oversight entities, including the auditor of public accounts (Virginia Department of Accounts) and the DMAS Division of Internal Audit.

In addition, DMAS staff provide quarterly reports to the Budget and Contract Management Division within DMAS to ensure that the vendor complies with the requirements of the contract, including fiscal accountability.

The contractor is required to retain all records for a period of 6 years after final payment is made under the contract. When an audit, litigation, or other action involving records is initiated prior to the end of said period, however, records will be maintained for a period of 6 years following resolution of such action or longer if such action is still ongoing. All records remain the property of DMAS.

Capitation payments to participating plans are paid through the MMIS. Individuals enrolled in a FAD participating plan have a unique benefit plan code associated with FAD enrollment which is used to identify them for capitation payments. Payment amounts are stored in tables in the MMIS and are linked to individuals for payment. Rates vary by enrollee age and geographic location.

Transition services reimbursement are paid through the Fiscal Employer Agent contractor. The transition coordinator directly submits claims to the contractor with supporting documentation. The contractor processes the claim and makes payment to the transition coordinator. The claim information is captured in the contractor's database system to satisfy reporting requirements to CMS and are subject to all audit and accounting oversight measures.

☐ **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:

Consumer-directed payroll for personal care and respite services are paid through the Fiscal Employer Agent contractor. The waiver individual directly submits attendant time sheets to the contractor, which processes the billing and makes payment directly to the care attendant. The claim information is captured in the contractor's database system to satisfy reporting requirements to CMS and are subject to all audit and accounting oversight measures.

The administrative activity is a per member per month fee and includes the contractor's direct and indirect costs. Direct costs include staffing, project supplies and materials, facilities, software, equipment, telecommunications, postage, printing, and subcontracts. Indirect costs include administrative staffing and services, general purpose equipment, facilities, telecommunications and general use office supplies.

DMAS employs contract monitoring staff within the Division of Long-Term Care to provide ongoing oversight for the administration of the contract for fiscal management services. The vendor provides a bi-weekly payroll register documenting the individual payments associated with eligible waiver individuals for each service provided to the individual by qualified assistant(s) for the pay period. DMAS staff authorize each voucher for payment through DMAS's Fiscal and Purchases Division for generation of payment through the Virginia Department of Accounts. The payroll process is subject to random audit through the various oversight entities, including the auditor of public accounts (Virginia Department of Accounts) and the DMAS Division of Internal Audit.

In addition, DMAS staff provide quarterly reports to the Budget and Contract Management Division within DMAS to ensure that the vendor complies with the requirements of the contract, including fiscal accountability.

Capitation payments to participating plans are paid through the MMIS. Individuals enrolled in a FAD participating plan have a unique benefit plan code associated with FAD enrollment which is used to identify them for capitation payments. Payment amounts are stored in tables in the MMIS and are linked to individuals for payment. Rates vary by enrollee age and geographic location.

Transition services reimbursement are paid through the Fiscal Employer Agent contractor. The transition coordinator directly submits claims to the contractor with supporting documentation. The contractor processes the claim and makes payment to the transition coordinator. The claim information is captured in the contractor's database system to satisfy reporting requirements to CMS and are subject to all audit and accounting oversight measures.

b. DMAS contracts with a Fiscal Management Services company to make payment for all consumer directed services, to include processing of time sheets, IRS withholdings and reporting, and direct payment of care attendants. Additionally, the FMS processes payment to transition coordinators for transition services. Oversight of the FMS operations are conducted by a contract monitor employed by the Medicaid agency.

DMAS employs contract monitoring staff within the Division of Long-Term Care to provide ongoing oversight for the administration of the contract for fiscal management services. PPL provides weekly estimated and reconciled payroll registers, documenting the individual payments associated with eligible waiver individuals for each service provided to the individual by qualified assistant(s) for the pay period. DMAS staff authorizes each voucher for payment through DMAS' Fiscal and Purchases Division for generation of payment through the Virginia Department of Accounts. The payroll process is subject to random audit through the various oversight entities, including the auditor of public accounts (Virginia Department of Accounts) and the DMAS Division of Internal Audit. Data from the operation meetings are used to develop the annual performance audit.

In addition, the FMS provides the DMAS fiscal office with quarterly, tax accrual reconciliation reports, annual FICA refund voucher reports, and annual unclaimed property reports for checks that have not been cashed. The FMS also provides monthly reports to DMAS Provider Reimbursement (rate setting) staff and weekly financial operations reports to DMAS contract monitors.

CCC and CCC+

Providers not included in the state's contract for managed care are paid through the same fiscal agent services used for the rest of the Medicaid program.

☒ **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.

FEE FOR SERVICE

Payments for most CCC+ waiver services are made through Virginia's approved Medicaid Management Information System (VaMMIS). However, a few CCC+ waiver services are not directly reimbursed through VaMMIS. Consumer-directed payroll for personal care, respite services and transition services are paid through the Fiscal Management Services contractor, Public Partnership Limited (PPL). The waiver participant directly submits attendant time sheets to PPL, which processes the billing and makes payment directly to the care attendant. The claim information is still captured in the VaMMIS system to satisfy reporting requirements to CMS and are subject to all audit and accounting oversight measures.

CCC

Capitation claims are automatically generated each month in the Virginia MMIS based on current recipient managed care enrollment data. These claims are then paid through the MMIS claims adjudication and payment process, which applies the appropriate edits and generates payment to the MCOs via the MMIS reimbursement process (check or EFT). All capitation payments are also reported to the health plans monthly via the HIPAA 820 electronic transaction for reconciliation purposes.
f. providers are paid by managed care entity
FFS providers receive and retain 100 percent of the amount claimed to CMS for waiver services.

Participating plans receive and retain 100% of the total computable expenditure claimed by DMAS.

Appendix I: Financial Accountability

I-3: Payment (3 of 7)

- c. Supplemental or Enhanced Payments.** Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to States for expenditures for services under an approved State plan/waiver. Specify whether supplemental or enhanced payments are made. *Select one:*

- ☒ **No. The State does not make supplemental or enhanced payments for waiver services.**
☐ **Yes. The State makes supplemental or enhanced payments for waiver services.**

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the State to CMS. Upon request, the State will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

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

- ☒ **No. State or local government providers do not receive payment for waiver services.** Do not complete Item I-3-e.
☐ **Yes. State or local government providers receive payment for waiver services.** Complete Item I-3-e.

Specify the types of State or local government providers that receive payment for waiver services and the services that the State or local government providers furnish:

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

- e. Amount of Payment to State or Local Government Providers.**

Specify whether any State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the State recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. *Select one:*

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

- ☐ **The amount paid to State or local government providers is the same as the amount paid to private providers of the same service.**
☐ **The amount paid to State or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.**

- ☐ The amount paid to State or local government providers differs from the amount paid to private providers of the same service. When a State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the State recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

- f. Provider Retention of Payments.** Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. *Select one:*

- ☒ Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.
- ☐ Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the State.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

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

- ☒ No. The State does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.
- ☐ Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR §447.10(e).

Specify the governmental agency (or agencies) to which reassignment may be made.

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

- ☒ No. The State does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR §447.10.
- ☐ Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR §447.10.

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

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

- ☐ The State does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.
- ☐ The State contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the State Medicaid agency.

Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

- ☒ This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.
- ☐ This waiver is a part of a concurrent ☐1115/☐1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The ☐1115 waiver specifies the types of health plans that are used and how payments to these plans are made.

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (1 of 3)

- a. **State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the State source or sources of the non-federal share of computable waiver costs. *Select at least one:*

- ☒ **Appropriation of State Tax Revenues to the State Medicaid agency**
- ☐ **Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.**

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the State entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

- ☐ **Other State Level Source(s) of Funds.**

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

- b. **Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. *Select One:*

- ☒ **Not Applicable.** There are no local government level sources of funds utilized as the non-federal share.
- ☐ **Applicable**
Check each that applies:
- ☐ **Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:




☐ **Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the State Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:




Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

- c. Information Concerning Certain Sources of Funds.** Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. *Select one:*

- ☒ **None of the specified sources of funds contribute to the non-federal share of computable waiver costs**
☐ **The following source(s) are used**

Check each that applies:

- ☐ **Health care-related taxes or fees**
☐ **Provider-related donations**
☐ **Federal funds**

For each source of funds indicated above, describe the source of the funds in detail:




Appendix I: Financial Accountability

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

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

- ☐ **No services under this waiver are furnished in residential settings other than the private residence of the individual.**
☒ **As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual.**

- b. Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** The following describes the methodology that the State uses to exclude Medicaid payment for room and board in residential settings:

Respite may be provided in a Children's Residential Facility. Respite is limited to 480 hours and is reimbursed at the rate consistent with agency directed respite services which covers the cost of providing the waiver service to the individual. Rates do not cover the costs of individual's room and board. This will be corrected in the application.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

- ☒ **No. The State does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.**
☐ **Yes. Per 42 CFR §441.310(a)(2)(ii), the State will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The State describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.**

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

- a. Co-Payment Requirements.** Specify whether the State imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. *Select one:*

- ☒ **No. The State does not impose a co-payment or similar charge upon participants for waiver services.**
☐ **Yes. The State imposes a co-payment or similar charge upon participants for one or more waiver services.**

i. Co-Pay Arrangement.

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

Charges Associated with the Provision of Waiver Services (if any are checked, complete Items I-7-a-ii through I-7-a-iv):

- ☐ **Nominal deductible**
☐ **Coinsurance**
☐ **Co-Payment**
☐ **Other charge**

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

- a. Co-Payment Requirements.**

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

- a. Co-Payment Requirements.**

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

- a. Co-Payment Requirements.**

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

- b. Other State Requirement for Cost Sharing.** Specify whether the State imposes a premium, enrollment fee or similar cost sharing on waiver participants. *Select one:*

- ☒ **No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
- ☐ **Yes. The State imposes a premium, enrollment fee or similar cost-sharing arrangement.**

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

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

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: Hospital, Nursing Facility

Col. 1 Year	Col. 2 Factor D	Col. 3 Factor D'	Col. 4 Total: D+D'	Col. 5 Factor G	Col. 6 Factor G'	Col. 7 Total: G+G'	Col. 8 Difference (Col 7 less Column4)
1	21914.65	7249.00	29163.65	34403.00	8634.00	43037.00	13873.35
2	22546.78	7263.00	29809.78	35793.00	9303.00	45096.00	15286.22
3	23250.96	7276.00	30526.96	37255.00	10023.00	47278.00	16751.04
4	24031.49	7289.00	31320.49	38777.00	10780.00	49557.00	18236.51
5	24888.79	7302.00	32190.79	40363.00	11637.00	52000.00	19809.21

Appendix J: Cost Neutrality Demonstration**J-2: Derivation of Estimates (1 of 9)**

- a. Number Of Unduplicated Participants Served.** Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)			
		Level of Care:		Level of Care:	
		Hospital		Nursing Facility	
Year 1	39905	178		39727	
Year 2	42224	172		42052	
Year 3	44680	165		44515	
Year 4	47283	159		47124	
Year 5	50040	153		49887	

Appendix J: Cost Neutrality Demonstration**J-2: Derivation of Estimates (2 of 9)**

- b. Average Length of Stay.** Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

The projected average length of stay on the waiver is based on the actual average length of stay reported on the CMS-372 for SFY 2012 - SFY 2015 and the average length of stay in state fiscal year 2016.

Average length of stay data from the CMS-372 reports for FY 2012 - FY 2015 for the prior EDCD and Technology Waivers was used to formulate the ALOS estimate for each waiver in each year. To combine the ALOS for each prior waiver into a combined ALOS estimate, the ALOS estimate for each waiver was multiplied by the enrollment to get the total number of service days. Then the total of the service days for both waivers was divided by the total enrollment for the combined waiver in each year. The change in the ALOS for each of these years was averaged, and this average change percent was used to arrive at an ALOS for each year from FY 16 to FY 22 in the Commonwealth Coordinated Care Plus waiver.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 9)

c. Derivation of Estimates for Each Factor. Provide a narrative description for the derivation of the estimates of the following factors.

- i. Factor D Derivation.** The estimates of Factor D for each waiver year are located in Item J-2-d. The basis for these estimates is as follows:

Calculations and projections are based on historical expenditure trends and utilization patterns of clients in the EDCD and Technology Waivers as reported in the CMS-372 for SFY 2012 - SFY 2015 and similar figures were compiled for SFY 2016.

- ii. Factor D' Derivation.** The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

Calculations and projections are based on historical expenditure trends and utilization patterns for acute care of clients in the EDCD and Technology Waivers as reported in the CMS-372 for SFY 2012 - SFY 2015 and similar figures were compiled for SFY 2016.

The average annual rate of change in the EDCD waiver for Factor D' expenditures between SFY2013 and SFY2015 was 6.1%, however, that time period included only 3 years. The average annual rate of change for Factor D' in the EDCD waiver for SFY2011-SFY2015, a five year period, was 12.0%. Until very recently the average annual rate of change in Factor D' expenditures was running relatively high. The decision was made to round the 6.1% up to 6.5% to account for the faster growth seen in the earlier part of the past five years.

- iii. Factor G Derivation.** The estimates of Factor G for each waiver year are included in Item J-1. The basis of these estimates is as follows:

Calculations and projections are based on historical expenditure trends and utilization patterns of clients in skilled nursing facilities or long stay hospitals, as appropriate, as reported in the CMS-372 FOR SFY 2012 - SFY 2015 and similar figures were compiled for SFY 2016.

The growth rate in Factor G reflects the expected expenditure growth and the expected growth in institutional recipients. A growth rate, based on prior year expenditure growth, was applied to expenditures for the three institutional categories to project future year institutional expenditures. A growth rate was also applied to the number of institutional recipients in each group to project the estimated number of institutional recipients in each group. The projected expenditures were divided by the projected recipients to arrive at Factor G.

Data for Factor G and G' came from the CMS-372 reports for FY 2012-FY2015 for the EDCD and the Technology Assisted Waivers. The comparison population reflected in the CMS-372 reports for the EDCD waiver was the population served in nursing facilities. The comparison population reflected in the CMS-372 reports for the Technology Assisted waiver was the population served in nursing facility-special care units and the population served in long-stay hospitals. The CMS-372 reports for the Technology Assisted waiver already crossed the two populations included in the comparison population. This was done in those 372 reports by adding together total expenditures for the two groups, then adding together total unduplicated recipients for the two groups. Then the aggregate expenditures are divided by the aggregate number of recipients to get at the combined per recipient spending for the comparison population.

For the CCC Plus waiver application, data for the comparison populations from the 372 reports for the EDCD waiver and the Tech waiver are combined. Expenditures for the two comparison populations are added together. The numbers of unduplicated recipients in each of the two populations are added together. Then the aggregate expenditures are divided by the aggregate number of unduplicated recipients.

- iv. Factor G' Derivation.** The estimates of Factor G' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

Calculations and projections are based on historical expenditure trends and utilization patterns of acute care services for clients in skilled nursing facility care and long stay hospitals as reported in the CMS-372 for SFY 2012 - SFY 2015 and similar figures compiled for SFY 2016.

The growth rate in Factor G' reflects the expected acute care expenditure growth and the expected growth in institutional recipients. The growth rate, based on prior year acute care expenditure growth, was applied to acute care expenditures to

project future year acute care expenditures. Similarly, a growth rate, based on prior year recipient growth, was applied to institutional recipients to project the number of future year institutional recipients. The projected acute care expenditures were divided by the projected number of expenditures to arrive at Factor G'.

Data for Factor G and G' came from the CMS-372 reports for FY 2012-FY2015 for the EDCD and the Technology Assisted Waivers. The comparison population reflected in the CMS-372 reports for the EDCD waiver was the population served in nursing facilities. The comparison population reflected in the CMS-372 reports for the Technology Assisted waiver was the population served in nursing facility-special care units and the population served in long-stay hospitals. The CMS-372 reports for the Technology Assisted waiver already crossed the two populations included in the comparison population. This was done in those 372 reports by adding together total expenditures for the two groups, then adding together total unduplicated recipients for the two groups. Then the aggregate expenditures are divided by the aggregate number of recipients to get at the combined per recipient spending for the comparison population.

For the CCC Plus waiver application, data for the comparison populations from the 372 reports for the EDCD waiver and the Tech waiver are combined. Expenditures for the two comparison populations are added together. The numbers of unduplicated recipients in each of the two populations are added together. Then the aggregate expenditures are divided by the aggregate number of unduplicated recipients.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select “*manage components*” to add these components.

Waiver Services	
Adult Day Health Care	
Personal Assistance Services	
Respite Care Services	
Services Facilitation	
Assistive Technology	
Environmental Modifications	
Personal Emergency Response System (PERS)	
Private Duty Nursing	
Transition Services	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 9)

d. Estimate of Factor D.

ii. Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932(a), Section 1937). 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. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Care Total:							12115863.04
Adult Day Health Care	<input type="checkbox"/>	day	262	202.00	60.16	3183907.84	
Adult Day Health Care Capitated	<input checked="" type="checkbox"/>					8470167.04	
GRAND TOTAL:							874504189.98
Total: Services included in capitation:							639743313.13
Total: Services not included in capitation:							234760876.85
Total Estimated Unduplicated Participants:							39905
Factor D (Divide total by number of participants):							21914.65
Services included in capitation:							16031.66
Services not included in capitation:							5882.99
Average Length of Stay on the Waiver:							286

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		day	697	202.00	60.16		
Adult Day Health Care CCC	<input checked="" type="checkbox"/>	day	38	202.00	60.16	461788.16	
Personal Assistance Services Total:							690685838.34
Personal Assistance -Agency	<input type="checkbox"/>	hour	4719	1401.00	14.03	92756805.57	
Consumer Directed Personal Assistance	<input type="checkbox"/>	hour	5352	1671.00	9.90	88537600.80	
Personal Assistance - Agency Capitated	<input checked="" type="checkbox"/>	hour	12569	1401.00	14.03	247056641.07	
Consumer Directed Personal Assistance Capitated	<input checked="" type="checkbox"/>	hour	14256	1671.00	9.90	235835582.40	
Personal Assistance- Agency CCC	<input checked="" type="checkbox"/>	hour	690	1401.00	14.03	13562660.70	
Consumer Direct Personal Assistance CCC	<input checked="" type="checkbox"/>	hour	782	1671.00	9.90	12936547.80	
Respite Care Services Total:							124340515.28
Respite Services - Agency	<input type="checkbox"/>	hour	3903	259.00	14.93	15092393.61	
Consumer Directed Respite Services	<input type="checkbox"/>	hour	4225	422.00	9.90	17651205.00	
Respite Services - Agency Capitated	<input checked="" type="checkbox"/>	hour	10301	259.00	14.93	39832627.87	
Consumer Directed Respite Services Capitated	<input checked="" type="checkbox"/>	hour	11254	422.00	9.90	47016961.20	
Respite Services - Agency CCC	<input checked="" type="checkbox"/>	hour	560	259.00	14.93	2165447.20	
Consumer Directed Respite Services CCC	<input checked="" type="checkbox"/>	hour	618	422.00	9.90	2581880.40	
Services Facilitation Total:							15175816.04
Services Facilitation	<input type="checkbox"/>	service	6039	11.00	59.96	3983082.84	
Services Facilitation Capitated	<input checked="" type="checkbox"/>	service	16087	11.00	59.96	10610341.72	
Services Facilitation CCC	<input checked="" type="checkbox"/>	service	883	11.00	59.96	582391.48	
Assistive Technology Total:							15206.74
Assistive Technology	<input type="checkbox"/>	service	2	1.40	2715.49	7603.37	
Assistive Technology Capitated	<input checked="" type="checkbox"/>	service	2	1.40	2715.49	7603.37	
Assistive Technology CCC	<input checked="" type="checkbox"/>	service	0	1.40	2566.27	0.00	
Environmental Modifications Total:							14211.64
Environmental Modifications	<input type="checkbox"/>	service	2	0.86	4131.29	7105.82	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							874504189.98 639743313.13 234760876.85 39905 21914.65 16031.66 5882.99 286

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Modifications Capitated	<input checked="" type="checkbox"/>	service	2	0.86	4131.29	7105.82	
Environmental Modifications CCC	<input checked="" type="checkbox"/>	service	0	0.90	4131.29	0.00	
Personal Emergency Response System (PERS) Total:							410218.90
PERS	<input type="checkbox"/>	month	416	5.00	51.73	107598.40	
PERS Capitated	<input checked="" type="checkbox"/>	month	1109	5.00	51.73	286842.85	
PERS CCC	<input checked="" type="checkbox"/>	month	61	5.00	51.73	15777.65	
Private Duty Nursing Total:							31574972.80
Private Duty Nursing	<input type="checkbox"/>	15 mins	134	3920.00	25.49	13389387.20	
Private Duty Nursing Capitated	<input checked="" type="checkbox"/>	15 mins	182	3920.00	25.49	18185585.60	
Private Duty Nursing CCC	<input checked="" type="checkbox"/>	15 mins	0	3920.00	25.49	0.00	
Transition Services Total:							171547.20
Transition Services	<input type="checkbox"/>	service	17	5.00	519.84	44186.40	
Transition Services Capitated	<input checked="" type="checkbox"/>	service	46	5.00	519.84	119563.20	
Transition Services CCC	<input checked="" type="checkbox"/>	service	3	5.00	519.84	7797.60	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							874504189.98 639743313.13 234760876.85 39905 21914.65 16031.66 5882.99 286

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 9)

d. Estimate of Factor D.

ii. **Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932(a), Section 1937).** 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. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Care Total:							12346275.84
Adult Day Health Care						625904.64	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							952015082.99 896710834.24 55304248.75 42224 22546.78 21236.99 1309.78 286

Component Service	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	<input type="checkbox"/>	day	51	204.00	60.16		
Adult Day Health Care Capitated	<input checked="" type="checkbox"/>	day	955	204.00	60.16	11720371.20	
Adult Day Health Care CCC	<input checked="" type="checkbox"/>	day	0	204.00	60.16	0.00	
Personal Assistance Services Total:							747202988.80
Personal Assistance -Agency	<input type="checkbox"/>	hour	934	1424.00	14.03	18660124.48	
Consumer Directed Personal Assistance	<input type="checkbox"/>	hour	1108	1780.00	9.90	19525176.00	
Personal Assistance - Agency Capitated	<input checked="" type="checkbox"/>	hour	17331	1424.00	14.03	346251196.32	
Consumer Directed Personal Assistance Capitated	<input checked="" type="checkbox"/>	hour	20586	1780.00	9.90	362766492.00	
Personal Assistance- Agency CCC	<input checked="" type="checkbox"/>	hour	0	1424.00	14.03	0.00	
Consumer Direct Personal Assistance CCC	<input checked="" type="checkbox"/>	hour	0	1780.00	9.90	0.00	
Respite Care Services Total:							138606543.09
Respite Services - Agency	<input type="checkbox"/>	hour	807	267.00	14.93	3216952.17	
Consumer Directed Respite Services	<input type="checkbox"/>	hour	885	455.00	9.90	3986482.50	
Respite Services - Agency Capitated	<input checked="" type="checkbox"/>	hour	14382	267.00	14.93	57331110.42	
Consumer Directed Respite Services Capitated	<input checked="" type="checkbox"/>	hour	16444	455.00	9.90	74071998.00	
Respite Services - Agency CCC	<input checked="" type="checkbox"/>	hour	0	267.00	14.93	0.00	
Consumer Directed Respite Services CCC	<input checked="" type="checkbox"/>	hour	0	455.00	9.90	0.00	
Services Facilitation Total:							19938318.92
Services Facilitation	<input type="checkbox"/>	service	1307	13.00	59.96	1018780.36	
Services Facilitation Capitated	<input checked="" type="checkbox"/>	service	24272	13.00	59.96	18919538.56	
Services Facilitation CCC	<input checked="" type="checkbox"/>	service	0	13.00	59.96	0.00	
Assistive Technology Total:							15206.74
Assistive Technology	<input type="checkbox"/>	service	1	1.40	2715.49	3801.69	
Assistive Technology Capitated	<input checked="" type="checkbox"/>	service	3	1.40	2715.49	11405.06	
Assistive Technology CCC	<input checked="" type="checkbox"/>	service	0	1.40	2715.49	0.00	
Environmental Modifications Total:							10410.85
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							952015082.99 896710834.24 55304248.75 42224 22546.78 21236.99 1309.78 286

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Modifications	<input type="checkbox"/>	service	1	0.84	4131.29	3470.28	
Environmental Modifications Capitated	<input checked="" type="checkbox"/>	service	2	0.84	4131.29	6940.57	
Environmental Modifications CCC	<input checked="" type="checkbox"/>	service	0	0.84	4131.29	0.00	
Personal Emergency Response System (PERS) Total:							289894.92
PERS	<input type="checkbox"/>	month	72	4.00	51.73	14898.24	
PERS Capitated	<input checked="" type="checkbox"/>	month	1329	4.00	51.73	274996.68	
PERS CCC	<input checked="" type="checkbox"/>	month	0	4.00	51.73	0.00	
Private Duty Nursing Total:							33383991.98
Private Duty Nursing	<input type="checkbox"/>	15 mins	75	4308.19	25.49	8236182.23	
Private Duty Nursing Capitated	<input checked="" type="checkbox"/>	15 mins	229	4308.19	25.49	25147809.75	
Private Duty Nursing CCC	<input checked="" type="checkbox"/>	15 mins	0	4308.19	25.49	0.00	
Transition Services Total:							221451.84
Transition Services	<input type="checkbox"/>	service	4	6.00	519.84	12476.16	
Transition Services Capitated	<input checked="" type="checkbox"/>	service	67	6.00	519.84	208975.68	
Transition Services CCC	<input checked="" type="checkbox"/>	service	0	6.00	519.84	0.00	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							952015082.99 896710834.24 55304248.75 42224 22546.78 21236.99 1309.78 286

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

ii. **Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932(a), Section 1937).** 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. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							1038852852.23 982736030.27 56116821.97 44680 23250.96 21994.99 1255.97 286

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Care Total:							12639916.80
Adult Day Health Care	<input type="checkbox"/>	day	47	207.00	60.16	585296.64	
Adult Day Health Care Capitated	<input checked="" type="checkbox"/>	day	968	207.00	60.16	12054620.16	
Adult Day Health Care CCC	<input checked="" type="checkbox"/>	day	0	207.00	60.16	0.00	
Personal Assistance Services Total:							809984405.14
Personal Assistance -Agency	<input type="checkbox"/>	hour	862	1448.00	14.03	17511909.28	
Consumer Directed Personal Assistance	<input type="checkbox"/>	hour	1070	1895.00	9.90	20073735.00	
Personal Assistance - Agency Capitated	<input checked="" type="checkbox"/>	hour	17694	1448.00	14.03	359461395.36	
Consumer Directed Personal Assistance Capitated	<input checked="" type="checkbox"/>	hour	22011	1895.00	9.90	412937365.50	
Personal Assistance- Agency CCC	<input checked="" type="checkbox"/>	hour	0	1448.00	14.03	0.00	
Consumer Direct Personal Assistance CCC	<input checked="" type="checkbox"/>	hour	0	1895.00	9.90	0.00	
Respite Care Services Total:							154854472.30
Respite Services - Agency	<input type="checkbox"/>	hour	757	275.00	14.93	3108052.75	
Consumer Directed Respite Services	<input type="checkbox"/>	hour	865	491.00	9.90	4204678.50	
Respite Services - Agency Capitated	<input checked="" type="checkbox"/>	hour	14871	275.00	14.93	61056608.25	
Consumer Directed Respite Services Capitated	<input checked="" type="checkbox"/>	hour	17792	491.00	9.90	86485132.80	
Respite Services - Agency CCC	<input checked="" type="checkbox"/>	hour	0	275.00	14.93	0.00	
Consumer Directed Respite Services CCC	<input checked="" type="checkbox"/>	hour	0	491.00	9.90	0.00	
Services Facilitation Total:							25576237.80
Services Facilitation	<input type="checkbox"/>	service	1318	15.00	59.96	1185409.20	
Services Facilitation Capitated	<input checked="" type="checkbox"/>	service	27119	15.00	59.96	24390828.60	
Services Facilitation CCC	<input checked="" type="checkbox"/>	service	0	15.00	59.96	0.00	
Assistive Technology Total:							18465.33
Assistive Technology	<input type="checkbox"/>	service	1	1.70	2715.49	4616.33	
Assistive Technology Capitated	<input checked="" type="checkbox"/>	service	3	1.70	2715.49	13849.00	
Assistive Technology CCC	<input type="checkbox"/>	service	0	1.70	2715.49	0.00	
GRAND TOTAL:							1038852852.23
Total: Services included in capitation:							982736030.27
Total: Services not included in capitation:							56116821.97
Total Estimated Unduplicated Participants:							44680
Factor D (Divide total by number of participants):							23250.96
Services included in capitation:							21994.99
Services not included in capitation:							1255.97
Average Length of Stay on the Waiver:							286

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Modifications Total:							6775.32
Environmental Modifications	<input type="checkbox"/>	service	1	0.82	4131.29	3387.66	
Environmental Modifications Capitated	<input checked="" type="checkbox"/>	service	1	0.82	4131.29	3387.66	
Environmental Modifications CCC	<input checked="" type="checkbox"/>	service	0	0.82	4131.29	0.00	
Personal Emergency Response System (PERS) Total:							256166.96
PERS	<input type="checkbox"/>	month	57	4.00	51.73	11794.44	
PERS Capitated	<input checked="" type="checkbox"/>	month	1181	4.00	51.73	244372.52	
PERS CCC	<input type="checkbox"/>	month	0	4.00	51.73	0.00	
Private Duty Nursing Total:							35239857.71
Private Duty Nursing	<input type="checkbox"/>	15 mins	78	4734.58	25.49	9413386.65	
Private Duty Nursing Capitated	<input checked="" type="checkbox"/>	15 mins	214	4734.58	25.49	25826471.06	
Private Duty Nursing CCC	<input checked="" type="checkbox"/>	15 mins	0	4734.58	25.49	0.00	
Transition Services Total:							276554.88
Transition Services	<input type="checkbox"/>	service	4	7.00	519.84	14555.52	
Transition Services Capitated	<input checked="" type="checkbox"/>	service	72	7.00	519.84	261999.36	
Transition Services CCC	<input checked="" type="checkbox"/>	service	0	7.00	519.84	0.00	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							1038852852.23 982736030.27 56116821.97 44680 23250.96 21994.99 1255.97 286

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (8 of 9)

d. Estimate of Factor D.

ii. **Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932(a), Section 1937).** 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. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 4

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Care Total:							12875202.56
Adult Day Health Care	<input type="checkbox"/>	day	46	209.00	60.16	578378.24	
Adult Day Health Care Capitated	<input checked="" type="checkbox"/>	day	978	209.00	60.16	12296824.32	
Adult Day Health Care CCC	<input checked="" type="checkbox"/>	day	0	209.00	60.16	0.00	
Personal Assistance Services Total:							879939177.72
Personal Assistance -Agency	<input type="checkbox"/>	hour	852	1472.00	14.03	17595640.32	
Consumer Directed Personal Assistance	<input type="checkbox"/>	hour	1108	2018.00	9.90	22135845.60	
Personal Assistance - Agency Capitated	<input checked="" type="checkbox"/>	hour	18000	1472.00	14.03	371738880.00	
Consumer Directed Personal Assistance Capitated	<input checked="" type="checkbox"/>	hour	23449	2018.00	9.90	468468811.80	
Personal Assistance- Agency CCC	<input checked="" type="checkbox"/>	hour	0	1472.00	14.03	0.00	
Consumer Direct Personal Assistance CCC	<input checked="" type="checkbox"/>	hour	0	2018.00	9.90	0.00	
Respite Care Services Total:							173382997.42
Respite Services - Agency	<input type="checkbox"/>	hour	759	284.00	14.93	3218251.08	
Consumer Directed Respite Services	<input type="checkbox"/>	hour	906	529.00	9.90	4744812.60	
Respite Services - Agency Capitated	<input checked="" type="checkbox"/>	hour	15322	284.00	14.93	64967118.64	
Consumer Directed Respite Services Capitated	<input checked="" type="checkbox"/>	hour	19181	529.00	9.90	100452815.10	
Respite Services - Agency CCC	<input checked="" type="checkbox"/>	hour	0	284.00	14.93	0.00	
Consumer Directed Respite Services CCC	<input checked="" type="checkbox"/>	hour	0	529.00	9.90	0.00	
Services Facilitation Total:							32224782.48
Services Facilitation	<input type="checkbox"/>	service	1426	17.00	59.96	1453550.32	
Services Facilitation Capitated	<input checked="" type="checkbox"/>	service	30188	17.00	59.96	30771232.16	
Services Facilitation CCC	<input checked="" type="checkbox"/>	service	0	17.00	59.96	0.00	
Assistive Technology Total:							20094.63
Assistive Technology	<input type="checkbox"/>	service	1	1.85	2715.49	5023.66	
Assistive Technology Capitated	<input checked="" type="checkbox"/>	service	3	1.85	2715.49	15070.97	
Assistive Technology CCC	<input checked="" type="checkbox"/>	service	0	1.85	2715.49	0.00	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							1136280785.40 1075776271.52 60504513.88 47283 24031.49 22751.86 1279.63 286

Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Modifications Total:							6610.06
Environmental Modifications	<input type="checkbox"/>	service	1	0.80	4131.29	3305.03	
Environmental Modifications Capitated	<input checked="" type="checkbox"/>	service	1	0.80	4131.29	3305.03	
Environmental Modifications CCC	<input checked="" type="checkbox"/>	service	0	0.80	4131.29	0.00	
Personal Emergency Response System (PERS) Total:							226370.48
PERS	<input type="checkbox"/>	month	49	4.00	51.73	10139.08	
PERS Capitated	<input checked="" type="checkbox"/>	month	1045	4.00	51.73	216231.40	
PERS CCC	<input checked="" type="checkbox"/>	month	0	4.00	51.73	0.00	
Private Duty Nursing Total:							37268693.73
Private Duty Nursing	<input type="checkbox"/>	15 mins	81	5203.17	25.49	10742933.07	
Private Duty Nursing Capitated	<input checked="" type="checkbox"/>	15 mins	200	5203.17	25.49	26525760.66	
Private Duty Nursing CCC	<input checked="" type="checkbox"/>	15 mins	0	5203.17	25.49	0.00	
Transition Services Total:							336856.32
Transition Services	<input type="checkbox"/>	service	4	8.00	519.84	16634.88	
Transition Services Capitated	<input checked="" type="checkbox"/>	service	77	8.00	519.84	320221.44	
Transition Services CCC	<input checked="" type="checkbox"/>	service	0	8.00	519.84	0.00	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							1136280785.40 1075776271.52 60504513.88 47283 24031.49 22751.86 1279.63 286

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (9 of 9)

d. Estimate of Factor D.

ii. Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932(a), Section 1937). 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. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 5

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Care Total:							13112654.08
Adult Day Health Care	<input type="checkbox"/>	day	49	211.00	60.16	621994.24	
Adult Day Health Care Capitated	<input checked="" type="checkbox"/>	day	984	211.00	60.16	12490659.84	
Adult Day Health Care CCC	<input checked="" type="checkbox"/>	day	0	211.00	60.16	0.00	
Personal Assistance Services Total:							957864615.63
Personal Assistance -Agency	<input type="checkbox"/>	hour	902	1497.00	14.03	18944624.82	
Consumer Directed Personal Assistance	<input type="checkbox"/>	hour	1227	2148.00	9.90	26092400.40	
Personal Assistance - Agency Capitated	<input checked="" type="checkbox"/>	hour	18251	1497.00	14.03	383324110.41	
Consumer Directed Personal Assistance Capitated	<input checked="" type="checkbox"/>	hour	24900	2148.00	9.90	529503480.00	
Personal Assistance- Agency CCC	<input checked="" type="checkbox"/>	hour	0	1497.00	14.03	0.00	
Consumer Direct Personal Assistance CCC	<input checked="" type="checkbox"/>	hour	0	2149.00	9.90	0.00	
Respite Care Services Total:							194428953.01
Respite Services - Agency	<input type="checkbox"/>	hour	812	293.00	14.93	3552085.88	
Consumer Directed Respite Services	<input type="checkbox"/>	hour	1016	570.00	9.90	5733288.00	
Respite Services - Agency Capitated	<input checked="" type="checkbox"/>	hour	15737	293.00	14.93	68841349.13	
Consumer Directed Respite Services Capitated	<input checked="" type="checkbox"/>	hour	20610	570.00	9.90	116302230.00	
Respite Services - Agency CCC	<input checked="" type="checkbox"/>	hour	0	293.00	14.93	0.00	
Consumer Directed Respite Services CCC	<input checked="" type="checkbox"/>	hour	0	570.00	9.90	0.00	
Services Facilitation Total:							40039729.04
Services Facilitation	<input type="checkbox"/>	service	1651	19.00	59.96	1880885.24	
Services Facilitation Capitated	<input checked="" type="checkbox"/>	service	33495	19.00	59.96	38158843.80	
Services Facilitation CCC	<input checked="" type="checkbox"/>	service	0	19.00	59.96	0.00	
Assistive Technology Total:							21941.16
Assistive Technology	<input type="checkbox"/>	service	1	2.02	2715.49	5485.29	
Assistive Technology Capitated	<input checked="" type="checkbox"/>	service	3	2.02	2715.49	16455.87	
Assistive Technology CCC	<input checked="" type="checkbox"/>	service	0	2.02	2715.49	0.00	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							1245435143.27 1176329700.12 69105443.15 50040 24888.79 23507.79 1381.00 286

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Modifications Total:							6444.81
Environmental Modifications	<input type="checkbox"/>	service	1	0.78	4131.29	3222.41	
Environmental Modifications Capitated	<input checked="" type="checkbox"/>	service	1	0.78	4131.29	3222.41	
Environmental Modifications CCC	<input checked="" type="checkbox"/>	service	0	0.78	4131.29	0.00	
Personal Emergency Response System (PERS) Total:							199884.72
PERS	<input type="checkbox"/>	month	45	4.00	51.73	9311.40	
PERS Capitated	<input checked="" type="checkbox"/>	month	921	4.00	51.73	190573.32	
PERS CCC	<input checked="" type="checkbox"/>	month	0	4.00	51.73	0.00	
Private Duty Nursing Total:							39353886.10
Private Duty Nursing	<input type="checkbox"/>	15 mins	84	5718.13	25.49	12243431.23	
Private Duty Nursing Capitated	<input checked="" type="checkbox"/>	15 mins	186	5718.13	25.49	27110454.87	
Private Duty Nursing CCC	<input checked="" type="checkbox"/>	15 mins	0	5718.13	25.49	0.00	
Transition Services Total:							407034.72
Transition Services	<input type="checkbox"/>	service	4	9.00	519.84	18714.24	
Transition Services Capitated	<input checked="" type="checkbox"/>	service	83	9.00	519.84	388320.48	
Transition Services CCC	<input checked="" type="checkbox"/>	service	0	9.00	519.84	0.00	
GRAND TOTAL: Total: Services included in capitation: Total: Services not included in capitation: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Services included in capitation: Services not included in capitation: Average Length of Stay on the Waiver:							1245435143.27 1176329700.12 69105443.15 50040 24888.79 23507.79 1381.00 286