

DEPARTMENT OF SOCIAL SERVICES

Notice of Proposed Medicaid State Plan Amendment (SPA)

Renewal of Section 1915(i) Home and Community-Based Services (SPA 17-001)

The State of Connecticut Department of Social Services (DSS) proposes to submit the following Medicaid State Plan Amendment (SPA) to the Centers for Medicare & Medicaid Services (CMS) within the U.S. Department of Health and Human Services (HHS).

Changes to Medicaid State Plan

Effective on or after February 1, 2017, SPA 17-001 will amend Attachment 3.1-F of the Medicaid State Plan to renew the home and community-based services (HCBS) Medicaid State Plan option pursuant to section 1915(i) of the Social Security Act, which was first added to the Medicaid State Plan by approved SPA 12-001, and make the updates described below, each of which are routine operational changes that are necessary to align this benefit with other relevant benefits.

SPA 17-001 renews the existing section 1915(i) HCBS SPA and makes updates as necessary to align the section 1915(i) HCBS benefits with changes to other relevant benefits, as follows. First, in order to align with the same services that were added to the Connecticut Home Care Program for Elders (CHCPE) section 1915(c) waiver, which was approved effective July 1, 2015, SPA 17-001 adds adult family living, bill payer, care transitions, chronic disease self-management, independent support broker and recovery assistant services as additional covered HCBS services. Second, the number of entities that provide case management was revised in order to align with the section 1915(b)(4) selective provider contracting waiver for case managers, which was approved effective July 1, 2015. Third, while the overall eligibility criteria remain the same, the list of qualifying categories of critical needs has been slightly reduced in order to align with the July 1, 2015 revisions to CHCPE referenced above and with the criteria in the Community First Choice (CFC) State Plan option pursuant to section 1915(k) of the Social Security Act, which was approved effective July 1, 2015 (through SPA 15-012). Finally, in order to align with CFC, which involved the transfer of self-directed personal care assistance services from various waivers to Attachment 3.1-K of the Medicaid State Plan, self-directed personal care assistance services have been removed from the 1915(i) HCBS State Plan option because they are now being provided through CFC. The reimbursement methodology is not being changed in this renewal.

Fiscal Information

Based on available information, DSS estimates that the proposed changes made by this SPA will increase annual aggregate expenditures by approximately \$106,000 in State Fiscal Year 2017 and approximately \$278,000 in State Fiscal Year 2018. Total program expenditures for section 1915(i) HCBS, accounting for projected trends, are anticipated to be approximately \$2.7 million in State Fiscal Year 2017 and approximately \$7.1 million in State Fiscal Year 2018.

Information on Obtaining SPA Language and Submission of Comments

Upon request, DSS will provide copies of the proposed SPA. Copies of the proposed SPA may also be obtained at any DSS regional office and on the DSS website: <http://www.ct.gov/dss>. Go to “Publications” and then “Updates”.

Written, phone, and email requests should be sent to Kathy Bruni, Director of HCBS, Division of Health Services, Department of Social Services, 55 Farmington Avenue, Hartford, CT 06105, Phone: (860) 424-5177, Email: kathy.a.bruni@ct.gov. Please reference “SPA 17-001: Renewal of Section 1915(i) HCBS”.

Members of the public may also send DSS written comments about this SPA. Written comments must be received at the above contact information no later than June 23, 2016.

1915(i) State plan Home and Community-Based Services

Administration and Operation

The state implements the optional 1915(i) State plan Home and Community-Based Services (HCBS) benefit for elderly and disabled individuals as set forth below.

1. **Services.** (Specify the state’s service title(s) for the HCBS defined under “Services” and listed in Attachment 4.19-B):

Adult Day health, Care Management, Homemaker, Companion, Chore, Respite, Assisted Living, Assistive Technology, Environmental Accessibility Adaptations, Home Delivered Meals, Adult Family Living, Mental Health Counseling, Personal Emergency Response Systems, Transportation, Bill Payer, Care Transitions, Chronic Disease Self-Management Programs, Recovery Assistant, Personal Care Assistant

2. **Concurrent Operation with Other Programs.** (Indicate whether this benefit will operate concurrently with another Medicaid authority):

Select one:

<input type="radio"/>	Not applicable		
<input checked="" type="radio"/>	Applicable		
Check the applicable authority or authorities:			
<input type="checkbox"/>	<p>Services furnished under the provisions of §1915(a)(1)(a) of the Act. 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 1915(i) State plan HCBS. Participants may <i>voluntarily</i> elect to receive program and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the State Medicaid agency. <i>Specify:</i></p> <p>(a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1);</p> <p>(b) the geographic areas served by these plans;</p> <p>(c) the specific 1915(i) State plan HCBS furnished by these plans;</p> <p>(d) how payments are made to the health plans; and</p> <p>(e) whether the 1915(a) contract has been submitted or previously approved.</p>		
<input checked="" type="checkbox"/>	<p>Program(s) authorized under §1915(b) of the Act.</p> <p><i>Specify the §1915(b) program and indicate whether a §1915(b) program application has been submitted or previously approved:</i></p>		
Specify the §1915(b) authorities under which this program operates (<i>check each that applies</i>):			
<input type="checkbox"/>	§1915(b)(1) (mandated enrollment to managed care)	<input type="checkbox"/>	§1915(b)(3) (employ cost savings to furnish additional services)
<input type="checkbox"/>	§1915(b)(2) (central broker)	<input checked="" type="checkbox"/>	§1915(b)(4) (selective

		contracting/limit number of providers)
<input type="checkbox"/>	A program operated under §1932(a) of the Act. <i>Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved:</i>	
<input type="checkbox"/>	A program authorized under §1115 of the Act. <i>Specify the program:</i>	

3. State Medicaid Agency (SMA) Line of Authority for Operating the State plan HCBS Benefit. *(Select one):*

<input checked="" type="radio"/>	The State plan HCBS benefit is operated by the SMA. Specify the SMA division/unit that has line authority for the operation of the program <i>(select one)</i> :	
<input checked="" type="radio"/>	The Medical Assistance Unit):Home and Community Based Services Unit	
<input type="radio"/>	Another division/unit within the SMA that is separate from the Medical Assistance Unit	
	<i>(name of division/unit)</i> This includes administrations/divisions under the umbrella agency that have been identified as the Single State Medicaid Agency.	
<input type="radio"/>	The State plan HCBS benefit is operated by <i>(name of agency)</i>	
	a separate agency of the state that is not a division/unit of the Medicaid agency. In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the State plan HCBS benefit and issues policies, rules and regulations related to the State plan HCBS benefit. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this delegation of authority is available through the Medicaid agency to CMS upon request.	

4. Distribution of State plan HCBS Operational and Administrative Functions.

✓ (By checking this box the state assures that): When the Medicaid agency does not directly conduct an administrative function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. When a function is performed by an agency/entity other than the Medicaid agency, the agency/entity performing that function does not substitute its own judgment for that of the Medicaid agency with respect to the application of policies, rules and regulations. Furthermore, the Medicaid Agency assures that it maintains accountability for the performance of any operational, contractual, or local regional entities. In the following table, specify the entity or entities that have responsibility for conducting each of the operational and administrative functions listed (check each that applies):

(Check all agencies and/or entities that perform each function):

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity	Local Non-State Entity
1 Individual State plan HCBS enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 Eligibility evaluation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3 Review of participant service plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4 Prior authorization of State plan HCBS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5 Utilization management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6 Qualified provider enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7 Execution of Medicaid provider agreement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8 Establishment of a consistent rate methodology for each State plan HCBS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9 Rules, policies, procedures, and information development governing the State plan HCBS benefit	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 Quality assurance and quality improvement activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

(Specify, as numbered above, the agencies/entities (other than the SMA) that perform each function):

Access Agencies defined in CT Statutes 17b-342 provide care management functions. These entities are selected as a result of a competitive procurement. This was most recently procured in 2013. This service is limited to selected contractors and was approved in the state's 1915(b)-4 application. The care managers perform multidimensional assessments to determine functional eligibility for HCBS. The Access Agency care manager is required to review the plan of care with the HCBS participant every 60 days or more frequently if identified needs changed. The fiscal intermediary, also selected as the result of a competitive procurement does provider credentialing and facilitates enrollment with the department's MMIS contractor.

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(By checking the following boxes the State assures that):

5. **Conflict of Interest Standards.** The state assures the independence of persons performing evaluations, assessments, and plans of care. Written conflict of interest standards ensure, at a minimum, that persons performing these functions are not:
- related by blood or marriage to the individual, or any paid caregiver of the individual
 - financially responsible for the individual
 - empowered to make financial or health-related decisions on behalf of the individual
 - providers of State plan HCBS for the individual, or those who have interest in or are employed by a provider of State plan HCBS; except, at the option of the state, when providers are given responsibility to perform assessments and plans of care because such individuals are the only willing and qualified entity in a geographic area, and the state devises conflict of interest protections. *(If the state chooses this option, specify the conflict of interest protections the state will implement):*
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6. **Fair Hearings and Appeals.** The state assures that individuals have opportunities for fair hearings and appeals in accordance with 42 CFR 431 Subpart E.
7. **No FFP for Room and Board.** The state has methodology to prevent claims for Federal financial participation for room and board in State plan HCBS.
8. **Non-duplication of services.** State plan HCBS will not be provided to an individual at the same time as another service that is the same in nature and scope regardless of source, including Federal, state, local, and private entities. For habilitation services, the state includes within the record of each individual an explanation that these services do not include special education and related services defined in the Individuals with Disabilities Education Improvement Act of 2004 that otherwise are available to the individual through a local education agency, or vocational rehabilitation services that otherwise are available to the individual through a program funded under §110 of the Rehabilitation Act of 1973.

Number Served

1. Projected Number of Unduplicated Individuals To Be Served Annually.

(Specify for year one. Years 2-5 optional):

Annual Period	From	To	Projected Number of Participants
Year 1	2/1/17	1/31/18	775
Year 2	2/1/18	1/31/19	825
Year 3	2/1/19	1/31/20	875
Year 4	2/1/20	1/31/21	925
Year 5	2/1/21	1/31/22	975

2. **Annual Reporting.** *(By checking this box the state agrees to):* annually report the actual number of unduplicated individuals served and the estimated number of individuals for the following year.

Financial Eligibility

1. **Medicaid Eligible.** *(By checking this box the state assures that):* Individuals receiving State plan HCBS are included in an eligibility group that is covered under the State's Medicaid Plan and have income that does not exceed 150% of the Federal Poverty Line (FPL). (This election does not include the optional categorically needy eligibility group specified at §1902(a)(10)(A)(ii)(XXII) of the Social Security Act. States that want to adopt the §1902(a)(10)(A)(ii)(XXII) eligibility category make the election in Attachment 2.2-A of the state Medicaid plan.)
2. **Medically Needy** *(Select one):*

The State does not provide State plan HCBS to the medically needy.

The State provides State plan HCBS to the medically needy. *(Select one):*

The state elects to disregard the requirements section of 1902(a)(10)(C)(i)(III) of the Social Security Act relating to community income and resource rules for the medically needy. When a state makes this election, individuals who qualify as medically needy on the basis of this election receive only 1915(i) services.

The state does not elect to disregard the requirements at section 1902(a)(10)(C)(i)(III) of the Social Security Act.

Evaluation/Reevaluation of Eligibility

1. **Responsibility for Performing Evaluations / Reevaluations.** Eligibility for the State plan HCBS benefit must be determined through an independent evaluation of each individual). Independent evaluations/reevaluations to determine whether applicants are eligible for the State plan HCBS benefit are performed *(Select one):*

<input type="radio"/>	Directly by the Medicaid agency
<input checked="" type="radio"/>	By Other (<i>specify State agency or entity under contract with the State Medicaid agency</i>):
	Contracted entity-Access Agency care managers

2. **Qualifications of Individuals Performing Evaluation/Reevaluation.** The independent evaluation is performed by an agent that is independent and qualified. There are qualifications (that are reasonably related to performing evaluations) for the individual responsible for evaluation/reevaluation of needs-based eligibility for State plan HCBS. (*Specify qualifications*):

The care manager who conducts the assessments, develops care plans and provides ongoing monitoring shall be either a registered nurse licensed in the state where care management services are provided or a social services worker who is a graduate of an accredited four-year college or university. The nurse or social services worker shall have a minimum of two years of experience in health care or human services. A bachelor’s degree in nursing, health, social work, gerontology or a related field may be substituted for one year of experience.

Care managers shall have the following additional qualifications:
 demonstrated interviewing skills which include the professional judgment to probe as necessary to uncover underlying concerns of the applicants; demonstrated ability to establish and maintain empathetic relationships; experience in conducting social and health assessments; knowledge of human behavior, family/caregiver dynamics, human development and disabilities; awareness of community resources and services; the ability to understand and apply complex service reimbursement issues; and the ability to evaluate, negotiate and plan for the costs of care options.

3. **Process for Performing Evaluation/Reevaluation.** Describe the process for evaluating whether individuals meet the needs-based State plan HCBS eligibility criteria and any instrument(s) used to make this determination. If the reevaluation process differs from the evaluation process, describe the differences:

Applicants for the 1915(i) HCBS will apply to the Department’s HCBS Unit who will perform an initial screening to determine if the individual appears to have 1 or 2 critical needs. The screening instrument is a Department designed Health Screen form number W-1506 that collects information on ADLs, IADLs, cognitive status, living arrangements, behavioral and health and safety issues. Once the referral and initial functional screen is done by HCBS Unit staff and the client appears to meet functional and financial eligibility criteria for the 1915i, the referral is sent to an Access Agency for the initial evaluation. The Care Manager meets with the client and his or her representative and explains the program prior to initiating the assessment. If the client consents, the care manager initiates the assessment. The uniform assessment instrument (W-1507A) evaluates 7 domains: health, function, psychosocial, environment, cognition, support system and finances. Risk indicators are discussed with the client and/or their representative.

Based on the assessment, unmet needs are identified and service options are discussed with the participant and their representative. Options regarding service providers are presented for the client to choose their services and providers.

The assessment is utilized to develop client centered goals and plans are developed that assist the client in achieving those goals. The Department as part of its audit process, reviews records to ensure that client goals are identified and reviewed at least annually. Once the plan is developed, the costs of the plan are calculated. The client and/or their representative are asked to sign off on the plan indicating their approval and/or agreement with it. The final plan of care is submitted to the department for utilization review and to ensure that needs and goals are addressed by the plan. The Total Plan of Care is coordinated by the care manager and includes not only state plan services but also in-kind, Medicare covered, other insurance covered services and other federal funded such as Older American's Act programs. The reevaluation utilizes the same level of care tool annually

4. **Reevaluation Schedule.** *(By checking this box the state assures that):* Needs-based eligibility reevaluations are conducted at least every twelve months.

5. **Needs-based HCBS Eligibility Criteria.** *(By checking this box the state assures that):* Needs-based criteria are used to evaluate and reevaluate whether an individual is eligible for State plan HCBS.

The criteria take into account the individual’s support needs, and may include other risk factors: *(Specify the needs-based criteria):*

In order to qualify for Home and community based services under the 1915i, the applicant must be a minimum of 65 years of age and require assistance with 1 or 2 critical needs. Critical needs are as follows: bathing, dressing, toileting, eating/feeding, transferring, and medication administration. Assistance includes supervision and cueing as well as direct, hands on assistance.

6. **Needs-based Institutional and Program Criteria.** *(By checking this box the state assures that):* There are needs-based criteria for receipt of institutional services and participation in certain programs that are more stringent than the criteria above for receipt of State plan HCBS. If the state has revised institutional level of care to reflect more stringent needs-based criteria, individuals receiving institutional services and participating in certain programs on the date that more stringent criteria become effective are exempt from the new criteria until such time as they no longer require that level of care. *(Complete chart below to summarize the needs-based criteria for State Plan HCBS and corresponding more-stringent criteria for each of the following institutions):*

State plan HCBS needs-based eligibility criteria	NF (& NF LOC** programs)	ICF/IID (& ICF/IID LOC programs)	Applicable Hospital* (& Hospital LOC programs)
Requiring assistance with 1-2 critical needs. See #4 above for	1. Supervision or cueing ≥ 3 ADLs +	Having a diagnosis of an intellectual disability as evidenced by testing	Each chronic disease client shall require

<p>description of critical needs</p>	<p>need factor</p> <p>2. Hands-on ≥ 3 ADLs</p> <p>3. Hands-on ≥ 2 ADLs + need factor</p> <p>4. A cognitive impairment which requires daily supervision to prevent harm</p> <p>*Need factors are:</p> <p>1. Rehabilitative Services PT, OT, ST. The individual has restorative potential.</p> <p>2. Behavioral Need: Requires daily supervision to prevent harm</p> <p>3. Medication supports: Requires assistance for administration of physician ordered daily medications. Includes supports beyond set up</p>	<p>and requiring substantial assistance with ADLs on a daily basis</p>	<p>services that can be provided safely and effectively at a chronic disease hospital level, shall be ordered by a physician and documented in the client's medical record, and shall include at least a daily physician visit and assessment or the 24-hour availability of medical services and equipment available only in a hospital setting; and</p> <p>The client's medical condition and treatment needs are such that no effective, safe, less costly alternative placement is available to the client.</p>
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*Long Term Care/Chronic Care Hospital

**LOC= level of care

7. **Target Group(s).** The state elects to target this 1915(i) State plan HCBS benefit to a specific population based on age, disability, diagnosis, and/or eligibility group. With this election, the state will operate this program for a period of 5 years. At least 90 days prior to the end of this 5 year period, the state may request CMS renewal of this benefit for additional 5-year terms in accordance with 1915(i)(7)(C) and 42 CFR 441.710(e)(2). (*Specify target group(s)*):

Persons age 65 and older who require assistance with one or two critical needs. Critical needs are bathing, dressing, toileting, transferring, eating/feeding, and medication administration. Individuals receiving services under this 1915(i) are less than nursing facility level of care.

- Option for Phase-in of Services and Eligibility.** If the state elects to target this 1915(i) State plan HCBS benefit, it may limit the enrollment of individuals or the provision of services to enrolled individuals in accordance with 1915(i)(7)(B)(ii) and 42 CFR 441.745(a)(2)(ii) based upon criteria described in a phase-in plan, subject to CMS approval. At a minimum, the phase-in plan must describe: (1) the criteria used to limit enrollment or service delivery; (2) the rationale for phasing-in services and/or eligibility; and (3) timelines and benchmarks to ensure that the benefit is available statewide to all eligible individuals within the initial 5-year approval. (*Specify the phase-in plan*):

(By checking the following box the State assures that):

8. **Adjustment Authority.** The state will notify CMS and the public at least 60 days before exercising the option to modify needs-based eligibility criteria in accord with 1915(i)(1)(D)(ii).
9. **Reasonable Indication of Need for Services.** In order for an individual to be determined to need the 1915(i) State plan HCBS benefit, an individual must require: (a) the provision of at least one 1915(i) service, as documented in the person-centered service plan, and (b) the provision of 1915(i) 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 person-centered service plan. Specify the state’s policies concerning the reasonable indication of the need for 1915(i) State plan HCBS:

i.	Minimum number of services.	The minimum number of 1915(i) State plan services (one or more) that an individual must require in order to be determined to need the 1915(i) State plan HCBS benefit is:
	1	
ii.	Frequency of services.	The state requires (select one):
<input checked="" type="checkbox"/>	The provision of 1915(i) services at least monthly	
<input type="checkbox"/>	Monthly monitoring of the individual when services are furnished on a less than monthly basis	If the state also requires a minimum frequency for the provision of 1915(i) services other than monthly (e.g., quarterly), specify the frequency:

Home and Community-Based Settings

(By checking the following box the State assures that):

1. **Home and Community-Based Settings.** The State plan HCBS benefit will be furnished to individuals who reside and receive HCBS in their home or in the community, not in an institution. (Explain how residential and non-residential settings in this SPA comply with Federal home and community-based settings requirements at 42 CFR 441.710(a)(1)-(2) and associated CMS guidance. Include a description of the settings where individuals will reside and where individuals will receive HCBS, and how these settings meet the Federal home and community-based settings requirements, at the time of submission and in the future):

(Note: In the Quality Improvement Strategy (QIS) portion of this SPA, the state will be prompted to include how the state Medicaid agency will monitor to ensure that all settings meet federal home and community-based settings requirements, at the time of this submission and ongoing.)

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The state has submitted a revised statewide transition plan to CMS for review. Three services, Assisted Living, Adult Family Living and Adult Day Health have all been reviewed and evaluated by the state for ongoing compliance with the CMS Final rules issued in 2014. The state has concluded based on a thorough systemic review and on site evaluations by HCBS staff and surveys completed by care managers and participants that these services fully comport with the settings requirements. Assisted Living services are provided in Managed Residential Communities. In these settings, assisted living services are available as a service option. Individuals may choose to receive assisted living services provided by a Licensed Assisted Living Service Agency or to receive other HCBS as an alternative. In a managed residential community the individual has a lease and has a private unit that has cooking facilities and a private living area. The participant is free to come and go as they chose and are able to participate fully in community activities. Their autonomy and privacy are protected. Some participants reside in Residential Care Homes. The state has surveyed residents and care managers in its assessment of the compliance of RCH's with the settings requirements. HCBS staff also visited each community in which participants reside and completed a survey based on direct observation and interaction with the participants. Letters have gone out to each community outlining the department's assessment of their compliance. We are currently waiting for plans of correction to be returned to the department. Additionally, there is a broad based group including multiple state agencies, the RCH association, coalitions representing the RCHs, Ct Legal Services meeting to revise the Department of Public Health Regulations that govern RCHs. As an initial step, DPH has introduced legislation in HB 5537. The language proposed is as follows:

"Residential care home" [, "nursing home"] or "rest home" means [an establishment] a community residence that furnishes, in single or multiple facilities, food and shelter to two or more persons unrelated to the proprietor and, in addition, provides services that meet a need beyond the basic provisions of food, shelter and laundry and may qualify as a setting that allows residents to receive home and community-based services funded by state and federal programs.

On an ongoing basis, the state has embedded settings questions into its newly implemented core standardized assessment that will be used broadly across all HCBS programs.

Person-Centered Planning & Service Delivery

(By checking the following boxes the state assures that):

1. There is an independent assessment of individuals determined to be eligible for the State plan HCBS benefit. The assessment meets federal requirements at 42 CFR §441.720.
2. Based on the independent assessment, there is a person-centered service plan for each individual determined to be eligible for the State plan HCBS benefit. The person-centered service plan is developed using a person-centered service planning process in accordance with 42 CFR §441.725(a), and the written person-centered service plan meets federal requirements at 42 CFR §441.725(b).
3. The person-centered service plan is reviewed, and revised upon reassessment of functional need as required under 42 CFR §441.720, at least every 12 months, when the individual’s circumstances or needs change significantly, and at the request of the individual.
4. **Responsibility for Face-to-Face Assessment of an Individual’s Support Needs and Capabilities.** There are educational/professional qualifications (that are reasonably related to performing assessments) of the individuals who will be responsible for conducting the independent assessment, including specific training in assessment of individuals with need for HCBS. *(Specify qualifications):*

The care manager who conducts the assessments, develops care plans and provides ongoing monitoring shall be either a registered nurse licensed in the state where care management services are provided or a social services worker who is a graduate of an accredited four-year college or university. The nurse or social services worker shall have a minimum of two years of experience in health care or human services. A bachelor’s degree in nursing, health, social work, gerontology or a related field may be substituted for one year of experience.

Care managers shall have the following additional qualifications:

demonstrated interviewing skills which include the professional judgment to probe as necessary to uncover underlying concerns of the applicants; demonstrated ability to establish and maintain empathic relationships; experience in conducting social and health assessments; knowledge of human behavior, family/caregiver dynamics, human development and disabilities; awareness of community resources and services; the ability to understand and apply complex service reimbursement issues; and the ability to evaluate, negotiate and plan for the costs of care options.

The registered nurse shall hold a license to practice nursing in the State of CT. Care Managers are encouraged but not required to be certified as a long term care manager.

5. **Responsibility for Development of Person-Centered Service Plan.** There are qualifications (that are reasonably related to developing service plans) for persons responsible for the development of the individualized, person-centered service plan. *(Specify qualifications):*

Same as #4 above

6. **Supporting the Participant in Development of Person-Centered Service Plan.** Supports and information are made available to the participant (and/or the additional parties specified, as appropriate) to direct and be actively engaged in the person-centered service plan development process. *(Specify: (a) the*

supports and information made available, and (b) the participant's authority to determine who is included in the process):

Once the referral is processed by HCBS Unit staff and the client appears to meet functional and financial eligibility criteria for state plan Home and Community Based Services, the referral is sent to an Access Agency for the initial evaluation. The Care Manager makes an appointment to meet with the client and his or her representative if the client chooses to have someone else present. People are encouraged to have someone else present during the visit if they so choose. Most often, that is identified at the time of referral. The care manager explains the program prior to initiating the assessment. If the client consents, the care manager initiates the assessment. The uniform assessment instrument (W-1507A) evaluates 7 domains: health, function, psychosocial, environment, cognition, support system and finances. The person-centered assessment process focuses on unmet needs as well as individual preferences, goals, strengths and desired outcomes.

To the extent possible, individuals are encouraged to lead the discussion.

Based on the assessment, unmet needs are identified and service options are discussed with the participant and their representative. Options regarding service providers are presented for the client to choose their services and providers.

The assessment is utilized to develop client centered goals and plans are developed that assist the client in achieving those goals.

- 7. Informed Choice of Providers.** *(Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the 1915(i) services in the person-centered service plan):*

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During the development of the Total Plan of Care, participants will select providers from a list prepared by the fiscal intermediary. The fiscal intermediary maintains the list of service providers according to geographic areas within the state, and the availability may vary by geographic area. For example, in the western part of the state, a provider that serves the greater Danbury area may well not agree to provide services to a client living in Torrington. The client might choose a provider that will not extend their coverage outside of their service area. The care managers make a concerted effort to provide the clients with as many choices as possible and the expectation is that there is documentation in the clinical record of the choices given. The client may request a copy of the list at any time. If the client does not have a specific choice, providers are assigned on a rotating basis as long as the provider can meet all of the specifications requested by the client such as language spoken and the days and times that services are available. The Care Manager will describe the services available from providers on the list. Participants choose providers from the list and their signature on the total Plan of Care acknowledges freedom of choice. Additionally, in every follow up monitoring contact the client is asked if they are satisfied with the services provided and if there are any problems with the delivery of the formal services. If the client indicates there are problems, then changing to another service provider is discussed as an option and the Care Manager again reviews with the participant, the service providers available to choose from. Again, that documentation is found in the clinical record.

Provider enrollment is open and continuous. New providers are added to the list as they meet the qualifications and are enrolled. Once added to the list, the care managers provide the info to the participant as part of the monitoring contact if the client wishes to change providers and is also provided as a choice to all new clients.

8. Process for Making Person-Centered Service Plan Subject to the Approval of the Medicaid Agency.
(Describe the process by which the person-centered service is made subject to the approval of the Medicaid agency):

HCBS staff review 100% of all new service plans and must authorize the plan before it can be implemented. Utilization Review Nurses match needs with services to ensure all health and safety needs are being met.

HCBS staff conduct annual client record reviews for each of the four Access Agencies. Approximately one hundred (100) client records are randomly selected for review. In addition to the record reviews done by ACU staff, the Access Agencies are contractually required to perform record audits and produce quarterly reports to the Department summarizing those audits. The 100 records selected when combined with the reviews done by the Access Agency constitute a representative sample. A representative sample is achieved by combining the audits of both the Access Agency supervisors and Department staff. The reviews include an examination of the client's most recent reassessment and confirm that the identified critical needs are consistent with the POC. The POC is reviewed to ensure that all identified needs are being met. HCBS staff conduct client satisfaction surveys in each of the five areas of the state that define the Access Agencies service areas. Both the Department and the Access Agencies perform client satisfaction surveys.

HCBS client record reviews are conducted to monitor the Access Agencies compliance with its contract with the Department. The Access Agencies are contractually obligated to conduct client record reviews including assessing appropriateness of POC and report annually to the Department of Social Services.

Access Agencies must update the POC at the time of reassessment or when a significant change occurs in the client’s status, and utilize care plans consistent with the program’s Uniform Client Care Plan. The Uniform Client Care Plan identifies provider, type of service, number of hours provided, date service began, and date service was discontinued, noting the need for a back up plan. These services are monitored by the Department of Social Services through Quality Assurance and Client Satisfaction Annual Reports generated by the Access Agencies.

9. **Maintenance of Person-Centered 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 §74.53. Service plans are maintained by the following (*check each that applies*):

<input checked="" type="checkbox"/>	Medicaid agency	<input type="checkbox"/>	Operating agency	<input checked="" type="checkbox"/>	Case manager
<input type="checkbox"/>	Other (<i>specify</i>):				

Services

1. **State plan HCBS.** (*Complete the following table for each service. Copy table as needed*):

Service Specifications (<i>Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover</i>):	
Service Title:	Adult Day Health
Service Definition (Scope):	
<p>The service is provided 4 or more hours per day on a regularly scheduled basis for one or more days per week, or as specified in the service plan, in a center that is a non-institutional, community-based setting and shall encompass both health and social services needed to ensure the optimal functioning of the participant. Health services include personal care, health monitoring by a registered nurse, therapeutic diet meals and snacks and social services include recreation and other social activities. See additional detail below. Transportation to and from the center is included in the service definition and in the rate structure. Meals provided as part of these services shall not constitute a full nutritional regimen. Claims will be denied by any Adult Day Health provider attempting to bill for transportation procedure codes. These procedure codes are not included on the Adult Day Health fee schedule and will deny as edits are built into the claim processing system to prevent duplicative transportation services for Adult Day Health from occurring.</p> <p>Services Covered and Limitations</p> <p>Payment for adult day services under the rate for a medical model is limited to providers that demonstrate to the department their ability to meet the following additional requirements:</p>	

a program nurse shall be available on site for not less than fifty percent of each operating day;

the program nurse shall be a registered nurse, except that a program nurse may be a licensed practical nurse if the program is located adjacent to a long term care facility licensed by the Department of Public Health, with ready access to a registered nurse from such long term care facility or the program nurse is supervised by a registered nurse who can be reached by telephone at any time during the operating day and who can be called to the center if needed within one half hour of the request. The program nurse is responsible for administering medications as needed and assuring that the participant's nursing services are coordinated with other services provided in the adult day health center, health and social services currently received at home or provided by existing community health agencies and personal physicians;

additional personal care services shall be provided as specified in the individual plan of care, including but not limited to, bathing and transferring;

ongoing training shall be available to the staff on a regular basis including, but not be limited to, orientation to key specialty areas such as physical therapy, occupational therapy, speech therapy and training in techniques for recognizing when to arrange or refer clients for such services; and

individual therapeutic and rehabilitation services shall be coordinated by the center as specified in the individual plan of care including but not limited to, physical therapy, occupational therapy and speech therapy. The center shall have the capacity to provide such services on site; this requirement shall not preclude the provider of adult day health services from also arranging to provide therapeutic and rehabilitation services at other locations in order to meet needs of individual clients.

Payment for adult day services shall include the costs of transportation, meals and all other required services except for individual therapeutic and rehabilitation services.

For participants receiving assisted living services, adult day services are included as part of the monthly rate. A separate reimbursement for this service is not authorized. The assisted living service agency may arrange for adult day health services and reimburse the adult day service provider from their all-inclusive rate.

Empty rectangular box for additional information.

Additional needs-based criteria for receiving the service, if applicable (*specify*):

None			
Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services. <i>(Choose each that applies):</i>			
<input checked="" type="checkbox"/>	Categorically needy <i>(specify limits):</i>		
	May be provided up to 7 times per week		
<input type="checkbox"/>	Medically needy <i>(specify limits):</i>		
Provider Qualifications <i>(For each type of provider. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Adult Day Center Provider Agency	None	Certified by Adult Day Care Association	<p>Providers of Adult Day Health services shall meet all applicable federal, state and local requirements including zoning, licensing, sanitation, fire and safety requirements</p> <p>provide, at a minimum, nursing consultation services, social work services, nutritionally balanced meals to meet specialized dietary needs as prescribed by health care personnel, personal care services, recreational therapy and transportation services for individuals to and from their homes; provide adequate personnel to operate the program including:</p> <ul style="list-style-type: none"> • a full-time program administrator; • nursing consultation during the full operating day by a Registered Nurse (RN) licensed in the state of Connecticut; and • the direct care staff-to-participant ratio shall be a minimum of one to seven. Staffing shall be adequate to meet the needs of the client

			<p>base. Volunteers shall be included in the ratio only when they conform to the same standards and requirements as paid staff.</p> <p>In order to be a provider of services to department clients, any facility located and operating within the state of Connecticut or located and operating outside the state of Connecticut, in a bordering state, shall be certified by the Connecticut Association of Adult Day Centers Incorporated, its successor agency or a department designee.</p> <p>A facility (center) located and operating outside the state of Connecticut in a bordering state shall be licensed or certified by its respective state and comply at all times with all pertinent licensure or certification requirements in addition to the approved standards for certification by the department.</p> <p>Certified facilities (centers) shall be in compliance with all applicable requirements in order to continue providing services to department clients. The failure to comply with any applicable requirements shall be grounds for the termination of its certification and participation as a department service provider</p>
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Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
ADC Provider	Department’s Fiscal Intermediary	Initially to enroll and Every 2 years thereafter

Service Delivery Method. (Check each that applies):

<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed
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Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Care Management

Service Definition (Scope):

Services that assist participants in gaining access to needed program and other State plan services, as well as medical, social, educational and other services, regardless of the funding source for the services to which access is gained. Care managers additionally are responsible for monitoring the ongoing provision of services in the participant's plan of care and continually monitor that the client's health and safety needs are being addressed. They complete the initial and annual assessment and reassessment of an individual's needs in order to develop a comprehensive plan of care. They confirm the initial level of care determination done by Department staff and reassess the level of care annually and maintain documentation for department review. Care Managers also explain opportunities for participant directed services options to participants. For clients who are able to direct their own services, Department nurses and social workers perform the annual reassessments and level of care determinations.

The Departments allows for a status review visit by the care manager when a program participant is in a hospital or nursing facility setting when the purpose of that visit is to reevaluate the total plan of care needs upon discharge back to the community based setting. This transitional care management service is provided one time in the first 45 days of a nursing home stay and/or one time only during a hospital stay. The reimbursement is based on a percentage of the rate for an initial assessment.

DSS has implemented a tiered case management system. Tiered case management is based on client's level of need and the number and type of case management interventions required. TIER A clients, with the fewest needs, receive a quarterly contact and an annual reassessment. Leveling Criteria for TIER A is 3 or less care management interventions in a 6 month period. If 2 of those interventions are crisis interventions, client is automatically elevated to level 2. TIER B clients receive monthly monitoring, a six month field visit and an annual reassessment. Leveling criteria is 4-6 care management interventions in a 6 month period. TIER C clients, the highest level, receive monthly monitoring, quarterly field visits, six month visit, and an annual reassessment. Leveling criteria is 7 or more care management interventions in a 6 month period. There are four categories of case management intervention: Crisis Intervention, Service Brokerage and Advocacy, Risk Management and Client Engagement/Re-engagement. Crisis Intervention Efforts have two principle aims 1) Cushion the stressful event by immediate or emergency emotional or environmental first aid and 2) Strengthen the person in his or her coping through immediate therapeutic clarification and guidance during the crisis period. Examples of incidents that precipitate crisis interventions: suicide assessment, incidents of abuse, victimization, neglect, exploitation, imminent threat of homelessness. Service Brokerage and Advocacy requires that the Care Manager facilitate continual interaction between various segments of the service delivery

system. When service breakdowns or requests for service changes occur, the Care Manager assists clients to ensure their rights to receive services based upon the person-centered model of care are upheld. Service brokerage and advocacy interventions include activities around finding and keeping providers for clients with difficult service needs, pre and post transitioning from an inpatient setting to the community, hospice and end of life care. Risk Management includes the identification of potential and perceived risks to the individual falling into four general categories; health, behavior, personal safety risks, and in-community risks. Managing these risks includes identification and documenting risks, developing written plans for addressing them, negotiating with clients the risks presented keeping client choice central to the process, and monitoring outcomes related to the risk. Client engagement refers to the process through which clients become active or involved in their care plans and participation in the program. The engagement process has several conceptualizations where interventions are designed to enhance client 1) receptivity, 2) expectancy 3) investment, 4) working relationship. Care management interventions are weighted according to complexity, severity and number of tasks required. Crisis intervention is weighted highest followed by Service Brokerage and Advocacy, Risk Management and Client Engagement/Re-engagement. Clients may move to a different tier based on their current needs with prior authorization from DSS. Care management per diem rates will be adjusted according to which tier the client is in.

Additional needs-based criteria for receiving the service, if applicable (*specify*):
None

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.
(Choose each that applies):

- Categorically needy (*specify limits*):
Service may be billed on a per diem basis as long as the client remains in a community-based setting. Care management per diem may not be billed when a client is in an institutional setting.
- Medically needy (*specify limits*):

Provider Qualifications (*For each type of provider. Copy rows as needed*):

Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Care management Agency	The registered nurse shall hold a license to practice nursing in the State of CT.	Care Managers are encouraged but not required to be certified as a long term care	The care manager who conducts the assessments, develops care plans and provides ongoing monitoring shall be either a registered nurse licensed in the state where care management services are provided or a social

		manager.	<p>services worker who is a graduate of an accredited four-year college or university. The nurse or social services worker shall have a minimum of two years of experience in health care or human services. A bachelor's degree in nursing, health, social work, gerontology or a related field may be substituted for one year of experience.</p> <p>Care managers shall have the following additional qualifications: demonstrated interviewing skills which include the professional judgment to probe as necessary to uncover underlying concerns of the applicants; demonstrated ability to establish and maintain empathetic relationships; experience in conducting social and health assessments; knowledge of human behavior, family/caregiver dynamics, human development and disabilities; awareness of community resources and services; the ability to understand and apply complex service reimbursement issues; and the ability to evaluate, negotiate and plan for the costs of care options.</p>
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Verification of Provider Qualifications *(For each provider type listed above. Copy rows as needed):*

Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>	Frequency of Verification <i>(Specify):</i>
Care Management Agency	Department of Social Services Access Agency	Initially and annually based on field audits Access Agency is responsible to verify the qualifications and licenses of their care management staff upon employment and annually thereafter

Service Delivery Method. <i>(Check each that applies):</i>	
<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Respite

Service Definition (Scope):

Services provided to individuals unable to care for themselves; furnished on a short-term basis because of the absence or need for relief of those persons normally providing the care. In home respite providers shall include but are not limited to homemakers, companions or Home Health aides. Services may be provided in the home or outside of the home including but not limited to a licensed or certified facility such as a Rest Home with Nursing Supervision or Chronic and Convalescent Nursing Home. Federal financial participation is not claimed for the cost of room and board except when provided as part of respite care furnished in a facility approved by the State that is not a private residence.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

none

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy *(specify limits):*

Respite services provided in a licensed facility are limited to 30 days per calendar year per recipient. In home respite services are limited to 720 hours per year per recipient.

Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed):*

Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Agency (Nursing Homes)	For respite in a facility, either Rest Home with Nursing Supervision or Chronic and Convalescent		

	Nursing Home, facilities must be licensed by the CT Department of Public Health.		
Provider Agency (such as Homemaker, Companion or PCA)	Licensing is not applicable to Homemakers and Companions, however all requirements of a Homemaker/Companion Agency are applicable when providing respite services. Home Health Agencies must be licensed by the CT Department of Public Health.		
Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):	
Agency (NF or RCH)	Fiscal Intermediary	Initially and every 2 years thereafter	
Agency (other)	Fiscal Intermediary	Initially and every 2 years thereafter	
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed

Service Specifications (<i>Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover:</i>)			
Personal Care Assistant			
Service Definition (Scope):			
<p>One or more persons assisting an elder with tasks that the individual would typically do for him/herself in the absence of a disability. Such tasks may be performed at home or in the community. The participant has co-employer authority and is responsible to direct the activities of the PCA. Such services may include physical or verbal assistance to the consumer in accomplishing any Activity of Daily Living (ADL), or Instrumental Activities of Daily Living (IADL). ADLs include bathing, dressing, toileting, transferring, and feeding. IADLs include meal preparation, shopping, housekeeping, laundry and cueing/reminders for self medication administration. Transportation costs associated with the provision of personal care outside of the participant's home is billed separately and is not included in the scope of personal care.</p>			
Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):			
none			
Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.			
<i>(Choose each that applies):</i>			
<input checked="" type="checkbox"/>	Categorically needy (<i>specify limits</i>):		
	Recipients of PCA services will not be eligible to receive Homemaker or Companion services. Edits have been created in the MMIS to deny any Homemaker or Companion claims for PCA service recipients. Personal Care may not be provided to participants receiving Assisted Living Services as all of the functions of personal care are provided by the Assisted Living Service provider. The benefit plan for Assisted Living service recipients excludes personal care so that there could be no duplicative billing.		
<input type="checkbox"/>	Medically needy (<i>specify limits</i>):		
Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
PCA Agency			The PCA hired by the agency shall meet all of the same qualifications as an individual PCA as follows: <ul style="list-style-type: none"> • Be at least 18 years of age

			<ul style="list-style-type: none"> • Have experience doing personal care • Be able to follow written or verbal instructions given by the consumer or the consumer's conservator • Be physically able to perform the services required • Receive instruction/training from consumer or their designee concerning all personal care services delineated in the service plan • Be able to handle emergencies • Demonstrate the ability to implement cognitive behavioral interventions/take direction to carry out the plan.
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Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
PCA Agency	Fiscal Intermediary and employing agency	At the time of enrollment and every 2 years thereafter

Service Delivery Method. (Check each that applies):

<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed
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Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):

Homemaker

Service Definition (Scope):

Services consisting of general household activities (meal preparation, laundry and routine household care) provided by a trained homemaker, when the individual regularly responsible for these activities is temporarily absent or unable to manage the home and care for him or herself or others in the home. Homemakers shall meet such standards of education and training as are established by the State for the provision of these activities.

Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):			
Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services. (Choose each that applies):			
<input checked="" type="checkbox"/>	Categorically needy (<i>specify limits</i>):		
	Up to 6 hours per week		
<input type="checkbox"/>	Medically needy (<i>specify limits</i>):		
Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Agency		Certification required from Dept. of Consumer Protection	
Verification of Provider Qualifications (<i>For each provider type listed above. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	Entity Responsible for Verification (<i>Specify</i>):	Frequency of Verification (<i>Specify</i>):	
Agency	Fiscal Intermediary	Initially and every 2 years thereafter	
Service Delivery Method. (<i>Check each that applies</i>):			
<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed

Service Specifications (<i>Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover</i>):	
Companion	
Service Definition (Scope):	
Non-medical care, supervision and socialization provided to a functionally impaired adult. Companions may assist or supervise the individual with such tasks as meal preparation,	

<p>laundry and shopping, but do not perform these activities as discrete services. The provision of companion services does not entail hands-on nursing care. Providers may also perform light housekeeping tasks which are incidental to the care and supervision of the individual. This service is provided in accordance with a therapeutic goal in the plan of care, and is not purely diversional in nature.</p> <p>Companion services may include, but are not limited to, the following activities:</p> <p>(A) escorting an individual to recreational activities or to necessary medical, dental or business appointments;</p> <p>(B) reading to or for an individual;</p> <p>(C) supervising or monitoring an individual during the self-performance of activities of daily living such as meal preparation and consumption, dressing, personal hygiene, laundry and simple household chores;</p> <p>(D) reminding an individual to take self-administered medications;</p> <p>(E) providing monitoring to ensure the safety of an individual;</p> <p>(F) assisting with telephone calls and written communications; and</p> <p>(G) reporting changes in an individual's needs or condition to the supervisor or care manager.</p>	
<p>Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):</p>	
<p>none</p>	
<p>Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.</p> <p>(Choose each that applies):</p>	
<input checked="" type="checkbox"/>	<p>Categorically needy (<i>specify limits</i>):</p> <p>Companion Services may not be provided to a participant receiving PCA services. An edit was built into the MMIS to reject any billing for the Companion procedure code if the PCA procedure code is billed. The total plan of care specifies if both homemaker and companion services are authorized for the participant. The duties of each are defined as part of the overall plan and are not duplicative. This service may not be provided by a relative of the participant.</p>
<input type="checkbox"/>	<p>Medically needy (<i>specify limits</i>):</p>

Provider Qualifications <i>(For each type of provider. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Agency			Any homemaker-companion agency must register with the Department of Consumer Protection pursuant to sections 20-671 to 20-680, inclusive, of the Connecticut General Statutes.
Verification of Provider Qualifications <i>(For each provider type listed above. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>		Frequency of Verification <i>(Specify):</i>
Agency	Fiscal Intermediary		Initially and every 2 years thereafter
Service Delivery Method. <i>(Check each that applies):</i>			
<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed
Service Specifications <i>(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):</i>			
Service Definition (Scope) <i>Chore</i>			
Additional needs-based criteria for receiving the service, if applicable <i>(specify):</i>			

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

<input checked="" type="checkbox"/>	Categorically needy <i>(specify limits):</i>
<input type="checkbox"/>	Medically needy <i>(specify limits):</i>

Provider Qualifications *(For each type of provider. Copy rows as needed):*

Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>

Verification of Provider Qualifications *(For each provider type listed above. Copy rows as needed):*

Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>	Frequency of Verification <i>(Specify):</i>

Service Delivery Method. *(Check each that applies):*

<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed
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Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Chore
Service Definition (Scope): Services needed to maintain the home in a clean, sanitary and

safe environment. This service includes heavy household chores such as washing floors, windows and walls, tacking down loose rugs and tiles, moving heavy items of furniture in order to provide safe access and egress. These services will be provided only in cases where neither the individual, nor anyone else in the household, is capable of performing or financially providing for them, and where no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. In the case of rental property, the responsibility of the landlord, pursuant to the lease agreement, will be examined prior to any authorization of service.

Additional needs-based criteria for receiving the service, if applicable (*specify*):

When an individual requires one-time only unique or specialized services in order to maintain a healthy and safe environment, they may receive highly skilled chore services which include but are not limited to moving, extensive cleaning or extermination services. Highly skilled chore services are subject to prior authorization by the department.

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy (*specify limits*):

Medically needy (*specify limits*):

Provider Qualifications (*For each type of provider. Copy rows as needed*):

Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Agency	n/a	If provider is a homemaker/co mpanion/chore agency, they must be registered with	n/a

		the Department of Consumer Protection. Chore services providers shall demonstrate the ability to meet the needs of the individual seeking services.	
Individual	Electrician, plumbers and other contractors must hold the appropriate license to perform highly skilled chore services.	n/a	n/a

Verification of Provider Qualifications *(For each provider type listed above. Copy rows as needed):*

Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>	Frequency of Verification <i>(Specify):</i>
Agency	Fiscal Intermediary	Initially and every 2 years thereafter
Individual	Fiscal Intermediary	At the time of service

Service Delivery Method. *(Check each that applies):*

<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed
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Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Assisted Living
Service Definition (Scope):

Personal care and services, homemaker, chore, attendant care, companion services, medication oversight, therapeutic social and recreational programming, provided in a home-like environment in a Managed Residential Community, in conjunction with residing in the community. A managed residential community is a living arrangement consisting of private residential units that provides a managed group living environment including housing and services. A private residential unit means a living arrangement rented by the participant that includes a private full bath within the unit and facilities and equipment for the preparation and storage of food. Each unit has lockable access, is free to receive visitors and leave the setting at times and durations of the individual's choosing, access to the greater community is easily facilitated and individuals can choose whether to share a living space. This service includes 24 hour on-site response staff to meet scheduled or unpredictable needs in a way that promotes maximum dignity and independence, and to provide supervision, safety and security. Other individuals or agencies may also furnish care directly, or under arrangement with the Managed Residential Community, but the care provided by these other entities supplements that provided by the community care facility and does not supplant it. Mental health counseling and the Personal Emergency Response System are services available to assisted living clients above and beyond the assisted living service.. Nursing and skilled therapy services are incidental rather than integral to the provision of assisted living services. Payment is not made for 24 hour skilled care. Federal financial participation is not available for room and board, items of comfort or convenience, or the costs of facility maintenance, upkeep and improvement. The methodology by which the costs of room and board are excluded from payments for assisted living services is described in Appendix I-5.

Personalized care is furnished to individuals who reside in their own living units (which may include dually occupied units when both occupants consent to the arrangement) which includes kitchenette and living rooms and which contain bedrooms and toilet facilities. The consumer has a right to privacy. Living units may be locked at the discretion of the consumer, except when a physician or mental health professional has certified in writing that the consumer is sufficiently cognitively impaired as to be a danger to self or others if given the opportunity to lock the door. Each living unit is separate and distinct from each other.

The communities have a central dining room, living room or parlor, and common activity center(s)(which may also serve as living rooms or dining rooms). The consumer retains the right to assume risk, tempered only by the individual's ability to assume responsibility for that risk. Care must be furnished in a way which fosters the independence of each consumer. Routines of care provision and service delivery must be consumer-driven to the maximum extent possible, and treat each person with dignity and respect.

Care plans will be developed based on the individual's service needs. There are four levels of service provided in assisted living facilities based on the consumer's combined needs for personal care and nursing services. The four levels are occasional which is 1-3.75 hours per week of service, limited which is 4-8.75 hours per week of service, moderate which is 9-14.75 hours per week of service and extensive which is 15-25 hours per week of service. Level of service assigned depends upon the volume and extent of services needed by each individual and is not a limitation of service.

Assisted Living services are provided statewide in Private Assisted Living Facilities under

CGS 17b-365 and in 17 state funded congregate and 5 HUD facilities under CGS 8-206e(e). Additionally, Assisted Living Services are provided in 4 demonstration sites under 19-13-D105 of the regulations of CT state agencies			
Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):			
Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services. (Choose each that applies):			
<input checked="" type="checkbox"/>	Categorically needy (<i>specify limits</i>):		
	Persons receiving Assisted Living services may not receive PCA services and PCA is not included on the fee schedule for clients receiving Assisted Living services preventing duplicative billing. The claims would reject as "not being covered under the participant's benefit plan."		
<input type="checkbox"/>	Medically needy (<i>specify limits</i>):		
Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Assisted Living Services Agency	The Assisted Living Service Provider (ALSA) is licensed by the CT Department of Public Health in accordance with chapter 368v. Regulations regarding a Managed Residential Community		

	and the ALSA are found in Regulations of the State of CT agencies in 19-13-D104 and 19-13-D105.		

Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
Agency	MMIS contractor and Dept Quality Assurance Staff	Initially and every two years thereafter

Service Delivery Method. (Check each that applies):

<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed
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Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):

Assistive Technology

Service Definition (Scope):

An item, piece of equipment, or product system, whether acquired commercially, modified, or customized, that is used to increase, maintain, monitor or improve functional capabilities of participants to perform Activity of Daily Living (ADL), or Instrumental Activities of Daily Living. (IADL). Assistive technology service means a service that directly assists a participant in the selection, acquisition, or use of an assistive technology device.

- A. Services consisting of purchasing, leasing, or otherwise providing for the acquisition of assistive technology devices.
- B. Services consisting of selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing, or replacing assistive technology devices.
- C. Training or technical assistance for the participant or for the direct benefit of the

participant receiving the service, and where appropriate, the family members, guardians, advocates or authorized representatives of the participants.			
Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):			
Care plans will be developed based on the needs identified in the comprehensive assessment The cost of the Assistive Technology cannot exceed the yearly cost of the service it replaces. When an assistive technology device is identified that will support the participant’s independent functioning, the services will be reduced commensurate with the cost of the service it replaces. This reduction will be made with consideration of the participant’s health and safety needs.			
Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services. (<i>Choose each that applies</i>):			
✓	Categorically needy (<i>specify limits</i>):		
	The service shall be capped at an annual cost of \$1000		
□	Medically needy (<i>specify limits</i>):		

Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Agency	n/a	n/a	Medicaid provider status for assistive technology and supplies or agency that obtains Medicaid performing provider status
_____	_____	_____	_____
Verification of Provider Qualifications (<i>For each provider type listed above. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	Entity Responsible for Verification (<i>Specify</i>):		Frequency of Verification (<i>Specify</i>):
_____	_____		_____

Agency	Fiscal Intermediary	At the start of service	
Service Delivery Method. <i>(Check each that applies):</i>			
<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed
Service Specifications <i>(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):</i>			
Service Title:	Environmental Accessibility Modifications		
Service Definition (Scope):			
<p>Minor Home Modifications required by the individual's plan of care which are necessary to ensure health, welfare and safety of the individuals to function with greater independence in their home and without which the individual would require institutionalization. Such adaptations may include the installation of hand rails and grab bars in the tub area, widening of doors and installation of ramps. Excluded are those adaptations or improvements to the home which are of general utility and are not of direct medical or remedial benefit to the individuals such as carpeting, roof repair or air conditioning. Adaptations which add to the total square footage of the home are excluded from this benefit. All services shall be provided in accordance with applicable state or local building codes. Adaptations are excluded if the residence is owned by someone other than the participant and the adaptations would be the responsibility of the owner/landlord.</p>			
Additional needs-based criteria for receiving the service, if applicable <i>(specify):</i>			
Specify limits (if any) on the amount, duration, or scope of this service for <i>(chose each that applies):</i>			
<input checked="" type="checkbox"/>	Categorically needy <i>(specify limits):</i>		
	This service is subject to prior authorization by Department staff		
<input type="checkbox"/>	Medically needy <i>(specify limits):</i>		
Provider Qualifications <i>(For each type of provider. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Individual (non relative)		<p>1. The vendor or contractor shall provide all services, materials, and labor that are necessary to complete the project/minor home modification(s) as indicated.</p> <p>2. The vendor or contractor must be registered with the</p>	

		<p>Department of Consumer Protection to do business in the State of Connecticut.</p> <p>3. The vendor or contractor must show evidence of a valid home improvement registration and evidence of worker's compensation (if applicable) and liability insurance, at the time they provide an estimate for the project.</p> <p>4. If applicable, the vendor or contractor must apply for, obtain, and pay for all permits. All work done shall be done per applicable codes, regulations and standards of construction, including American National Standards Institute (ANSI) standards for barrier-free access and safety requirement.</p> <p>5. The vendor or contractor shall warranty all work, including labor and materials, for one year from the date of acceptance and thereafter, one year from the date of completion of the project.</p> <p>6. When equipment is required to make the home accessible, a separate vendor may provide and install the equipment.</p>	
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Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):		Frequency of Verification (Specify):
Agency	Access Agency		Prior to the initiation of service
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Participant-directed		<input checked="" type="checkbox"/> Provider managed
Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):			
Service Title:	Mental Health Counseling		
Service Definition (Scope):			
<p>Mental Health Counseling Services are professional counseling services provided to help resolve or enable the eligible individual to cope with individual, family, and/or environmentally related problems and conditions. Counseling focuses on issues such as problems in maintaining a home in the community, relocation within the community, dealing with long term disability, substance abuse, and family relationships.</p> <p>The department shall pay for mental health services conforming to accepted methods of diagnosis and treatment, including:</p> <ul style="list-style-type: none"> (A) mental health evaluation and assessment; (B) individual counseling; (C) group counseling; and (D) family counseling. <p>Mental Health Counseling can be provided in the client’s home or location best suited for the client.</p>			
Additional needs-based criteria for receiving the service, if applicable (specify):			
Specify limits (if any) on the amount, duration, or scope of this service for (chose each that applies):			
<input checked="" type="checkbox"/>	Categorically needy (specify limits):		
<input type="checkbox"/>	Medically needy (specify limits):		
Provider Qualifications (For each type of provider. Copy rows as needed):			
Provider Type (Specify):	License (Specify):	Certification (Specify):	Other Standard (Specify):
Individual			A social worker who holds a masters

			degree from an accredited school of social work, or an individual who has a master’s degree in counseling, psychology or psychiatric nursing and has experience in providing mental health services to the elderly may also provide mental health counseling.

Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
Individual	Access Agency	At the time of enrollment as a provider and bi-annually thereafter

Service Delivery Method. (Check each that applies):

<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed
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Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):

Service Title:	Home Delivered Meals
<p>Service Definition (Scope): Home delivered meals, or "meals on wheels," include the preparation and delivery of one or two meals for persons who are unable to prepare or obtain nourishing meals on their own. Meals on Wheels providers include delicatessens, Family Services Agencies, Community Action Agencies, Catholic Charities, Town Social Services, visiting nurse agencies, assisted living agencies, senior centers, soup kitchens. Meals must meet a minimum of one-third for single meals and two-thirds for double meals of the daily recommended allowance and requirements as established by the Food and Nutrition Academy of Sciences National Research Council. Special diet meals are available such as diabetic, cardiac, low sodium and renal as are ethnic meals such as Hispanic and Kosher meals.</p> <p>Liquid supplements, such as Ensure, are generally unavailable as the home delivered meals. There is one Community Action Agency in Northwest CT that provides liquid supplement meal replacement.</p>	
Additional needs-based criteria for receiving the service, if applicable (specify):	
Specify limits (if any) on the amount, duration, or scope of this service for (chose each that applies):	
<input checked="" type="checkbox"/>	Categorically needy (specify limits):
	No more than two meals per day up to seven times per week as specified in the individual service plan. Liquid supplements are covered by the CT Medicaid program with prior authorization for clients who are tube fed.
<input type="checkbox"/>	Medically needy (specify limits):

Provider Qualifications <i>(For each type of provider. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Home Delivered meals Provider			Reimbursement for home delivered meals shall be available only to providers which provide meals that meet a minimum of one-third of the current daily recommended dietary allowance and requirements as established by the Food and Nutrition Board of the National Academy of Sciences National Research Council. All “meals on wheels” providers shall provide their menus to the department, contracted agencies or department designee for review and approval. Quality assurance and quality control shall be performed by the department’s contracted providers to ensure that the “meals on wheels” service providers are in compliance with the dietary requirements and the requirements for the preparation and storage and delivery of food based on the department policies for the elderly nutrition program and Title (III) of the Older American’s Act.
Verification of Provider Qualifications <i>(For each provider type listed above. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>		Frequency of Verification <i>(Specify):</i>
Agency	Access Agency		At the time of enrollment and biannually thereafter
Service Delivery Method. <i>(Check each that applies):</i>			
<input type="checkbox"/>	Participant-directed		<input checked="" type="checkbox"/> Provider managed

Service Specifications <i>(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):</i>	
Service Title:	Personal Emergency Response System
Service Definition (Scope): PERS is an electronic device which 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. The response center is staffed by trained professionals 24/7. 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, and who would otherwise require extensive routine supervision. Installation, upkeep and maintenance of the device are provided.

Additional needs-based criteria for receiving the service, if applicable (*specify*):

Specify limits (if any) on the amount, duration, or scope of this service for (*chose each that applies*):

- Categorically needy (*specify limits*):
 - Provider may bill for one time only installation and monthly rate thereafter
- Medically needy (*specify limits*):

Provider Qualifications (*For each type of provider. Copy rows as needed*):

Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Agency-vendors who sell and install PERS equipment			Vendor that has an approved contract through DSS as a performing provider

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type (<i>Specify</i>):	Entity Responsible for Verification (<i>Specify</i>):	Frequency of Verification (<i>Specify</i>):
Agency	Access Agency	At the time of enrollment and biannually thereafter

Service Delivery Method. (*Check each that applies*):

- Participant-directed
- Provider managed

Service Specifications (*Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover*):

Service Title: **Transportation**

Service Definition (Scope):
 Transportation services provide access to social services, community services and appropriate social or recreational facilities that are essential to help some individuals avoid institutionalization by enabling these individuals to retain their role as community members.

<p>This service is offered in addition to medical transportation offered under the state plan and shall not replace it.</p> <p>(A) These services are provided when transportation is required to promote and enhance independent living and self-support; and</p> <p>(B) Transportation services may be provided by taxi, livery, bus, invalid coach, volunteer organization or individuals. They shall be reimbursed when they are necessary to provide access to needed community based services or community activities as specified in the approved plan of care.</p>			
<p>Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):</p>			
<p>Specify limits (if any) on the amount, duration, or scope of this service for (<i>chose each that applies</i>):</p>			
<input checked="" type="checkbox"/>	<p>Categorically needy (<i>specify limits</i>):</p> <p>Adult Day Health providers cannot bill the transportation procedure code. Transportation is a separate and distinct procedure code and that service is not contracted to be provided by Adult Day Care providers thus preventing duplicate billing.</p>		
<input type="checkbox"/>	<p>Medically needy (<i>specify limits</i>):</p>		
<p>Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):</p>			
<p>Provider Type (<i>Specify</i>):</p>	<p>License (<i>Specify</i>):</p>	<p>Certification (<i>Specify</i>):</p>	<p>Other Standard (<i>Specify</i>):</p>
<p>Agency-Commercial Transportation Providers</p>	<p>In order to receive payment, all commercial transportation providers shall be regulated carriers and meet all applicable state and federal permit and licensure requirements, and vehicle registration requirements. Commercial transportation providers shall also meet all applicable</p>		

	Medicaid program enrollment requirements		
Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):	
Agency	Access Agency	At the time of enrollment and bi annually thereafter	
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed
Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):			
Service Title:	Bill Payer		
Service Definition (Scope):			
A bill payer is a trained agency staff member who is paired with a client that is having difficulty managing their routine monthly finances. Staff member assists with writing checks that client signs, budgeting, paying bills on time, balancing checkbook, Social Security and Medicare questions and problems. The person can assist with applications for financial assistance programs, medical insurance claims and other financial matters including applications for senior housing and medical insurance. Electronic bill payment is permitted as part of this service.			
Specify limits (if any) on the amount, duration, or scope of this service for (chose each that applies):			
<input checked="" type="checkbox"/>	Categorically needy (specify limits):		
	Service is limited to 3 hours per month.		
<input type="checkbox"/>	Medically needy (specify limits):		
Provider Qualifications (For each type of provider. Copy rows as needed):			
Provider Type (Specify):	License (Specify):	Certification (Specify):	Other Standard (Specify):
Agency		If the agency provider is a Homemaker/Companion Agency, they must be	Agency providing bill payer service is bonded and insured against fraudulent behavior. Bill payer's activities are overseen by the agency administrator or their designee. Cases are regularly reviewed and coaching is provided to

		registered with the Department of Consumer Protection.	the bill payer as needed. Online banking and bill paying is an option as part of this service
Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):		Frequency of Verification (Specify):
Agency	Fiscal intermediary		At the time of enrollment and every two years thereafter
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Participant-directed		<input checked="" type="checkbox"/> Provider managed

Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover): **Care Transitions**

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Service Definition (Scope):

An evidence-based set of actions designed to ensure health care coordination, continuity and avoidance of preventable poor outcomes in vulnerable participants as they move between institutional and home and community based settings. Core activities include: building a trusting relationship, facilitating coaching and teaching, helping participants identify "red flags" to prevent readmissions, understand contributing factors for current admission, scheduling timely follow up with primary care provider, partnering with hospital care coordinators to enhance continuity of care. Service includes either a home visit or telephone follow up no more than 72 hours after discharge.

Specify limits (if any) on the amount, duration, or scope of this service for (chose each that applies):

<input checked="" type="checkbox"/>	Categorically needy (specify limits): Available only to those who have been enrolled in the program as an active participant which means they are receiving HCBS services. Not available to program applicants. Limited to no more than one unit in 60 days. Cannot be billed concurrently with a status review.
<input type="checkbox"/>	Medically needy (specify limits):

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Provider Qualifications (For each type of provider. Copy rows as needed):

Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Agency	The care manager who conducts the assessments, develops care plans and provides ongoing monitoring shall be either a registered nurse licensed in the state where care management services are provided or a social services worker who is a graduate of an accredited four-year college or university. The nurse or social services worker shall have a minimum of two years of experience in health care or human services. A bachelors degree in nursing, health, social work, gerontology or a related field may be substituted for one year of experience. A	Care Managers are encouraged but not required to be certified as a long term care manager.	

	licensed social worker is preferred for this service but not required.		
Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):	
Access Agency	Department of Social Services	Annually	
Service Delivery Method. (Check each that applies):			
Participant-directed	<input checked="" type="checkbox"/>	Provider managed	
Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):			
Chronic Disease Self- Management Programs			
<p>Service Definition (Scope): The Chronic Disease Self-Management Program (Live-Well) is a workshop given two and a half hours, once a week, for six weeks, in community settings such as senior centers, churches, libraries and hospitals. People with different chronic health problems attend together. Workshops are facilitated by two trained leaders, one or both of whom are non-health professionals with chronic diseases themselves. Subjects covered include:</p> <p>1) techniques to deal with problems such as frustration, fatigue, pain and isolation, 2) appropriate exercise for maintaining and improving strength, flexibility, and endurance, 3) appropriate use of medications, 4) communicating effectively with family, friends, and health professionals, 5) nutrition, 6) decision making, and 7) how to evaluate new treatments.</p> <p>The program is helpful for people with chronic conditions, as it gives them the skills to coordinate all the things needed to manage their health, as well as to help them keep active in their lives. The therapeutic goals of the service are adjustment to serious impairments, maintenance or restoration of physical functioning, self management of chronic disease, acquisition of skills to address minor depression, management of personal care and development of skills to work with care providers including behavior management. The program is also available in Spanish and is called Tomando Control de su Salud.</p>			
Specify limits (if any) on the amount, duration, or scope of this service for (chose each that applies):			
<input checked="" type="checkbox"/>	Categorically needy (specify limits):		
	The program provides up to six sessions of two hours each. The participant is strongly encouraged to attend all six sessions. The service is limited to one six session service per calendar year.		
<input type="checkbox"/>	Medically needy (specify limits):		

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Provider Qualifications (For each type of provider. Copy rows as needed):

Provider Type (Specify):	License (Specify):	Certification (Specify):	Other Standard (Specify):
Agency			Individual Employee Qualification: Certification in an evidence- based chronic disease self-management training program such as the Stanford University Chronic Disease Self Management Program.
Individual		Certification in an evidence-based chronic disease self management training program such as the Stanford University Chronic Disease Self Management Program (CDSMP).	

Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
Agency	Provider Agency and Fiscal Intermediary	Initially upon enrollment and every two years thereafter
Individual	Fiscal Intermediary	Initially upon enrollment and every two years thereafter

Service Delivery Method. (Check each that applies):

Participant-directed	<input type="checkbox"/>	Provider managed	<input checked="" type="checkbox"/>
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Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):

Recovery Assistant

Service Definition (Scope): A flexible range of supportive assistance provided face-to-face in accordance with a Program, the service that enables a participant to maintain a home/apartment, encourages the use of existing natural supports, and fosters involvement in social and community activities. Service activities include:

performing household tasks, providing instructive assistance, or cuing to prompt the participant to carry out tasks (e.g., meal preparation; routine household chores, cleaning, laundry, shopping, and bill-paying; and participation in social and recreational activities), and providing supportive companionship. The Recovery Assistant may also provide instruction or cuing to prompt the participant to dress appropriately and perform basic hygiene functions; supportive assistance and supervision of the participant; and short-term relief in the home for a participant who is unable to care for himself/herself when the primary caregiver is absent or in need of relief. The Recovery Assistant service is provided to persons with a mental health or substance abuse diagnosis.

Specify limits (if any) on the amount, duration, or scope of this service for *(choose each that applies)*:

<input checked="" type="checkbox"/>	Categorically needy <i>(specify limits)</i> :	
<input type="checkbox"/>	Medically needy <i>(specify limits)</i> :	

Provider Qualifications *(For each type of provider. Copy rows as needed):*

Provider Type <i>(Specify)</i> :	License <i>(Specify)</i> :	Certification <i>(Specify)</i> :	Other Standard <i>(Specify)</i> :
Agency		Recovery Assistant must have certification from the Dept. of Mental Health and Addiction Services in order to be a provider of this service.	

Verification of Provider Qualifications *(For each provider type listed above. Copy rows as needed):*

Provider Type <i>(Specify)</i> :	Entity Responsible for Verification <i>(Specify)</i> :	Frequency of Verification <i>(Specify)</i> :
Agency	Fiscal Intermediary	Upon enrollment and Every two years thereafter

Service Delivery Method. *(Check each that applies):*

Participant-directed	<input checked="" type="checkbox"/>	Provider managed
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Service Specifications (*Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover*):

Adult Family Living

Service Definition (Scope): Personal care and supportive services (homemaker, chore, attendant services, meal preparation) that are furnished to program participants who reside in a private home by a principal caregiver who lives in the home. Adult Family Living/Foster Care is furnished to adults who receive these services in conjunction with residing in the home. Service includes 24 hour response capability to meet scheduled or unpredictable resident needs to provide supervision, safety and security based on ADL, IADL, cognitive or behavioral needs. Service allocation is based on ADL, IADL, cognitive or behavioral needs. Services also include social and recreational activities and cueing or reminders to take medications. Separate payment will not be made for homemaker or chore services furnished to an individual receiving adult foster care services, since these are integral to and inherent in the provision of Adult Family Living/Foster Care services. Edits in the MMIS system do not allow these services to be billed when Adult Family Living/Foster Care is in place as a service. Four classifications of Adult Family Living/Foster Care service will be available under this Program:

Level 1: service provided to individuals who because of their impairments, require supervision on a daily basis and require cueing or supervision to perform ADLs and may also have cognitive or behavioral challenges

Level 2: services provided to individuals who require hands on assistance to perform 2 ADLs on a daily basis.

Level 3: services provided to individuals who require hands on assistance to perform 3 or more ADLs or 2 ADLs and co-occurring assistance for the management of challenging behaviors or cognitive deficits.

Level 4: services provided to individuals who require hands on assistance to perform 4 or more ADLs or 3 ADLs and co-occurring assistance for the management of challenging behaviors or cognitive deficits.

The agency that provides the Adult Family Living/Foster Care service will supervise the supports delivered by the direct care provider. This service may be provided in the home of either the care provider or the participant, whichever is preferable to the participant. The direct provider may be a relative of the client as long as they are not a legally liable relative. Adult Family Living/Foster Care is limited to no more than 3 participants in a home. The Adult Family Living/Foster Care provider may not administer medication but may supervise the participant's self-administration of medication. Payments made for Adult Family Living/Foster Care are not made for room and board, items of comfort or convenience, or the costs of home maintenance, upkeep and improvement. Room and board payments are excluded from the rate

Specify limits (if any) on the amount, duration, or scope of this service for (*chose each that applies*):

- Categorically needy (*specify limits*):
- Medically needy (*specify limits*):

Provider Qualifications <i>(For each type of provider. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Agency			In order to be an Adult Family Living/Foster Care provider setting, the provider agency must certify that the home is regularly maintained and that the interior floors, walls, ceiling and furnishings must be clean and in good repair including the kitchen area, bathroom and participant’s bedroom, ventilation, heating, lighting and stairs. The home should conform to all applicable building codes, health and safety codes and ordinances and meet the participant’s need for privacy. The home should also be equipped with a fire extinguisher and an emergency first aid kit. It is the responsibility of the provider agency to ensure that the home meets all of these specifications. In addition, the agency is responsible to verify that the provider is at least 18 year of age, be in good health and able to follow written and verbal instruction, report changes in a participant’s condition, maintain confidentiality and complete record keeping requirements specified by the provider agency. The provider agency will provide nursing oversight / supervision of the provision of care by the Adult Family Living/Foster Care provider on a minimum of a bi-monthly basis. Their role will include orientation, competency evaluations in the provision of daily care and ongoing continuing education for the direct caregiver. The agency provider as well as the care manager are responsible to assure the health and safety needs of the participant are met. The direct caregiver will provide nutritionally balanced meals and

			<p>healthy snacks each day to the program participant, as dictated by their medical/nutritional needs. The reimbursement rate does not include room and board. The payment for room and board costs are negotiated between the direct service provider and the program participant. The provider agency in order to be credentialed to provide Adult Family Living/Foster Care must provide evidence of an ability to certify that the individual homes meet all of the requirements included in this description and can demonstrate an ability to monitor the delivery and quality of service provided to the program participant. The agency may also provide relief to the direct service provider or the care manager can provide relief through the provision of other program services. The provider agency bills the Access Agency which holds the provider agreement with the state which then pays the provider. The provider is then responsible to pay the direct caregiver.</p>
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Verification of Provider Qualifications *(For each provider type listed above. Copy rows as needed):*

Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>	Frequency of Verification <i>(Specify):</i>
Agency	Fiscal Intermediary	Upon enrollment and Every two years thereafter

Service Delivery Method. *(Check each that applies):*

Participant-directed	<input type="checkbox"/>	Provider managed	<input checked="" type="checkbox"/>
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Policies Concerning Payment for State plan HCBS Furnished by Relatives, Legally Responsible Individuals, and Legal Guardians. *(By checking this box the state assures that):* There are policies pertaining to payment the state makes to qualified persons furnishing State plan HCBS, who are relatives of the individual. There are additional policies and controls if the state makes payment to qualified legally responsible individuals or legal guardians who provide State Plan HCBS. *(Specify (a) who may be paid to provide State plan HCBS; (b) the specific State plan HCBS that can be provided; (c) how the state*

ensures that the provision of services by such persons is in the best interest of the individual; (d) the state's strategies for ongoing monitoring of services provided by such persons; (e) the controls to ensure that payments are made only for services rendered; and (f) if legally responsible individuals may provide personal care or similar services, the policies to determine and ensure that the services are extraordinary (over and above that which would ordinarily be provided by a legally responsible individual):

Program regulations specify policies regarding the provision of program services by relatives. Relatives are defined in the regulations as follows: "Relative" means spouse, natural parent, child, sibling, adoptive child, adoptive parent, stepparent, stepchild, stepbrother, stepsister, father-in-law, mother-in-law, son-in-law, daughter-in-law, sister-in-law, grandparent and grandchild. Self directed Personal Care Assistant services are no longer available under the 1915i since they became available under the Medicaid state plan on 7/1/15.

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Participant-Direction of Services

Definition: Participant-direction means self-direction of services per §1915(i)(1)(G)(iii).

1. Election of Participant-Direction. *(Select one):*

<input checked="" type="radio"/>	The state does not offer opportunity for participant-direction of State plan HCBS.
<input type="radio"/>	Every participant in State plan HCBS (or the participant’s representative) is afforded the opportunity to elect to direct services. Alternate service delivery methods are available for participants who decide not to direct their services.
<input type="radio"/>	Participants in State plan HCBS (or the participant’s representative) are afforded the opportunity to direct some or all of their services, subject to criteria specified by the state. <i>(Specify criteria):</i>

2. Description of Participant-Direction. *(Provide an overview of the opportunities for participant-direction under the State plan HCBS, including: (a) the nature of the opportunities afforded; (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 approach to participant-direction):*

Self directed Personal Care Assistant Services are available in CT under the 1915k state plan option so are no longer included in the 1915i

3. Limited Implementation of Participant-Direction. *(Participant direction is a mode of service delivery, not a Medicaid service, and so is not subject to statewideness requirements. Select one):*

<input type="radio"/>	Participant direction is available in all geographic areas in which State plan HCBS are available.
<input type="radio"/>	Participant-direction is available only to individuals who reside in the following geographic areas or political subdivisions of the state. Individuals who reside in these areas may elect self-directed service delivery options offered by the state, or may choose instead to receive comparable services through the benefit’s standard service delivery methods that are in effect in all geographic areas in which State plan HCBS are available. <i>(Specify the areas of the state affected by this option):</i>

4. Participant-Directed Services. *(Indicate the State plan HCBS that may be participant-directed and the authority offered for each. Add lines as required):*

Participant-Directed Service	Employer Authority	Budget Authority
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

5. Financial Management. *(Select one):*

<input type="radio"/>	Financial Management is not furnished. Standard Medicaid payment mechanisms are used.
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<input type="radio"/>	Financial Management is furnished as a Medicaid administrative activity necessary for administration of the Medicaid State plan.
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6. **Participant-Directed Person-Centered Service Plan.** *(By checking this box the state assures that):* Based on the independent assessment required under 42 CFR §441.720, the individualized person-centered service plan is developed jointly with the individual, meets federal requirements at 42 CFR §441.725, and:
- Specifies the State plan HCBS that the individual will be responsible for directing;
 - Identifies the methods by which the individual will plan, direct or control services, including whether the individual will exercise authority over the employment of service providers and/or authority over expenditures from the individualized budget;
 - Includes appropriate risk management techniques that explicitly recognize the roles and sharing of responsibilities in obtaining services in a self-directed manner and assures the appropriateness of this plan based upon the resources and support needs of the individual;
 - Describes the process for facilitating voluntary and involuntary transition from self-direction including any circumstances under which transition out of self-direction is involuntary. There must be state procedures to ensure the continuity of services during the transition from self-direction to other service delivery methods; and
 - Specifies the financial management supports to be provided.

7. Voluntary and Involuntary Termination of Participant-Direction. *(Describe how the state facilitates an individual's transition from participant-direction, and specify any circumstances when transition is involuntary):*

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8. Opportunities for Participant-Direction

a. Participant-Employer Authority (individual can select, manage, and dismiss State plan HCBS providers). *(Select one):*

<input checked="" type="radio"/>	The state does not offer opportunity for participant-employer authority.
<input type="radio"/>	Participants may elect participant-employer Authority <i>(Check each that applies):</i>
<input type="checkbox"/>	Participant/Co-Employer. The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide program 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.
<input type="checkbox"/>	Participant/Common Law Employer. The participant (or the participant's representative) is the common law employer of workers who provide program 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.

b. Participant-Budget Authority (individual directs a budget that does not result in payment for medical assistance to the individual). *(Select one):*

<input checked="" type="radio"/>	The state does not offer opportunity for participants to direct a budget.
<input type="radio"/>	Participants may elect Participant-Budget Authority.
	Participant-Directed Budget. <i>(Describe in detail the method(s) that are used to establish the amount of the budget over which the participant has authority, including the method for calculating the dollar values in the budget based on reliable costs and service utilization, is applied consistently to each participant, and is adjusted to reflect changes in individual assessments and service plans. Information about these method(s) must be made publicly available and included in the person-centered service plan.):</i>
	Expenditure Safeguards. <i>(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.</i>

Quality Improvement Strategy

Quality Measures

(Describe the state’s quality improvement strategy. For each requirement, and lettered sub-requirement, complete the table below):

1. **Service plans a) address assessed needs of 1915(i) participants; b) are updated annually; and (c) document choice of services and providers.**
2. **Providers meet required qualifications.**
3. **Settings meet the home and community-based setting requirements as specified in this SPA and in accordance with 42 CFR 441.710(a)(1) and (2).**
4. **The SMA retains authority and responsibility for program operations and oversight.**
5. **The SMA maintains financial accountability through payment of claims for services that are authorized and furnished to 1915(i) participants by qualified providers.**
6. **The state identifies, addresses, and seeks to prevent incidents of abuse, neglect, and exploitation, including the use of restraints.**

(Table repeats for each measure for each requirement and lettered sub-requirement above.)

Requirement	Service plans a) address assessed needs of 1915(i) participants; b) are updated annually; and (c) document choice of services and providers.
Discovery	
Discovery Evidence <i>(Performance Measure)</i>	<ol style="list-style-type: none"> 1. Number and percent of service plans that are updated and revised annually 2. Number and percent of clients educated about the full range of services and choices of providers available as evidenced by their signature on the W-990 form, "Your Rights and Responsibilities"
Discovery Activity <i>(Source of Data & sample size)</i>	Representative sample of record audits conducted by both the contracted entity and the SMA. Sample size to be determined by using on-line tool to determine representative sample size with a confidence level of 95%
Monitoring Responsibilities <i>(Agency or entity that conducts discovery activities)</i>	Contracted Access Agency and SMA
Frequency	Annually

Remediation	
<p>Remediation Responsibilities <i>(Who corrects, analyzes, and aggregates remediation activities; required timeframes for remediation)</i></p>	<p>SMA</p> <p>When the SMA has audit findings, a response from the Access Agency is required within 30 days of the receipt of the audit report.</p>
<p>Frequency <i>(of Analysis and Aggregation)</i></p>	<p>Audits are completed of all six Access Agencies every 3 months so that each one is audited at least every 18 months</p>

Requirement	Providers meet required qualifications.
Discovery	
<p>Discovery Evidence <i>(Performance Measure)</i></p>	<ol style="list-style-type: none"> 1. Number and percent of HCBS providers that meet qualifications for enrollment both initially and on an ongoing basis 2. Number and percent of HCBS clinical staff licensure that is verified initially and annually.
<p>Discovery Activity <i>(Source of Data & sample size)</i></p>	<p>State Medicaid Agency Audits Summary reports from Access Agencies SMA review of Public Health Dept Licensure Data Base</p>
<p>Monitoring Responsibilities <i>(Agency or entity that conducts discovery activities)</i></p>	<p>SMA MMIS Contractor Contracted Agencies doing FI functions Access Agency Care Managers and HCBS Unit staff</p>
<p>Frequency</p>	<p>Initially upon enrollment and every two years thereafter Annually</p>
Remediation	
<p>Remediation Responsibilities <i>(Who corrects, analyzes, and aggregates remediation activities; required timeframes for remediation)</i></p>	<p>SMA and contracted Fiscal Intermediary collaboratively implements remediation plan for the provider. SMA HCBS Unit</p>

<i>timeframes for remediation)</i>	
Frequency <i>(of Analysis and Aggregation)</i>	Continuously and ongoing

Requirement	Settings meet the home and community-based setting requirements as specified in this SPA and in accordance with 42 CFR 441.710(a)(1) and (2).
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Discovery	
Discovery Evidence <i>(Performance Measure)</i>	<ol style="list-style-type: none"> 1. Number and percent of Assisted Living Agencies that meet HCBS settings requirements 2. Number and percent of Residential Care Homes that meet HCBS settings requirements 3. Number and percent of Adult Day Centers that meet HCBS settings requirements
Discovery Activity <i>(Source of Data & sample size)</i>	100% of RCHs and Adult Day Centers were surveyed in person by HCBS staff. The state regulations for Assisted Living fully comport with HCBS settings requirements and HCBS staff annually conduct in person evaluations of a minimum of 2 providers.
Monitoring Responsibilities <i>(Agency or entity that conducts discovery activities)</i>	The fiscal intermediary, HCBS unit staff and contracted Access Agency Care Managers all have monitoring responsibilities.
Frequency	Continuously and ongoing. Settings questions are being embedded into the new Core Standardized Assessment that will be fully implemented in late 2016 or early 2017.

Remediation	
Remediation Responsibilities <i>(Who corrects, analyzes, and aggregates remediation activities; required timeframes for remediation)</i>	SMA
Frequency <i>(of Analysis and Aggregation)</i>	Continuously and ongoing
Requirement	The SMA retains authority and responsibility for program operations and

oversight.	
Discovery	
<p>Discovery Evidence <i>(Performance Measure)</i></p>	<p>1. Number and percent of Access Agencies that receive both a clinical and administrative review by Department staff in an eighteen month period. Numerator is number of Access Agencies that receive a review within 18 months and the denominator is the total number of Access Agencies</p> <p>2. Number and percentage of required aggregate reports received from the Access Agencies in the time frame required in their contract. Numerator=number of reports received on time and denominator is total number of reports due</p>
<p>Discovery Activity <i>(Source of Data & sample size)</i></p>	<p>SMA completes on site audits of all Access Agency providers over an 18 month period. Approximately 10 records per agency are reviewed.</p>
<p>Monitoring Responsibilities <i>(Agency or entity that conducts discovery activities)</i></p>	<p>SMA</p>
<p>Frequency</p>	<p>Each agency every 18 months</p> <p>Reports are reviewed annually for compliance with time frame and format requirements</p>
Remediation	
<p>Remediation Responsibilities <i>(Who corrects, analyzes, and aggregates remediation activities; required timeframes for remediation)</i></p>	<p>SMA</p>
<p>Frequency <i>(of Analysis and Aggregation)</i></p>	<p>Continuously and ongoing</p>
<p>Requirement</p>	<p>The SMA maintains financial accountability through payment of claims for services that are authorized and furnished to 1915(i) participants by qualified providers.</p>
Discovery	

<p>Discovery Evidence <i>(Performance Measure)</i></p>	<p>1.Number and percent of claims that are coded and paid for in accordance with the reimbursement methodology specified in the waiver. Numerator= number of claims paid in accordance with waiver reimbursement strategy Denominator= total number of claims paid</p> <p>2.Number and percent of waiver claims that are denied due to existing system edits and audits. Numerator= total number of claims denied Denominator= total number of claims</p>
<p>Discovery Activity <i>(Source of Data & sample size)</i></p>	<p>Reports from contracted MMIS vendor based on claims from the data warehouse</p>
<p>Monitoring Responsibilities <i>(Agency or entity that conducts discovery activities)</i></p>	<p>SMA and MMIS contractor</p>
<p>Frequency</p>	<p>Annually</p>
<p>Remediation</p>	
<p>Remediation Responsibilities <i>(Who corrects, analyzes, and aggregates remediation activities; required timeframes for remediation)</i></p>	<p>SMA and fiscal intermediary</p>
<p>Frequency <i>(of Analysis and Aggregation)</i></p>	<p>Continuously and ongoing</p>
<p>Requirement</p>	<p>The state identifies, addresses, and seeks to prevent incidents of abuse, neglect, and exploitation, including the use of restraints.</p>
<p>Discovery</p>	
<p>Discovery Evidence <i>(Performance Me)</i></p>	<p>1. The number and percent of critical incidents regarding waiver participants requiring investigation by Protective Services for Elders Numerator= total number of incidents reported to PSE Denominator= total number of cases requiring reporting to PSE</p> <p>2. Number and percent of critical incident reports that are submitted to the HCBS unit within 48 hours as required by the waiver</p>

	<p>Numerator= number of critical incidents reported timely Denominator= number of critical incidents reported</p> <p>3. Number and percent of cases of restraints or seclusion that are reported via the critical incident system. Numerator= number of critical incidents of restraints and seclusion Denominator = number of incidents of restraints and seclusion</p>
<p>Discovery Activity <i>(Source of Data & sample size)</i></p>	<p>Critical Incident Reports. The SMA conducts a 100% review of all critical incidents</p>
<p>Monitoring Responsibilities <i>(Agency or entity that conducts discovery activities)</i></p>	<p>Contracted Access Agency and SMA</p>
<p>Frequency</p>	<p>Continuously and ongoing</p>
<p>Remediation</p>	
<p>Remediation Responsibilities <i>(Who corrects, analyzes, and aggregates remediation activities; required timeframes for remediation)</i></p>	<p>SMA Remediation requirements vary depending on the severity of the incident. Can vary from the same day to 30 days. The timeframe is determined by clinical staff</p>
<p>Frequency <i>(of Analysis and Aggregation)</i></p>	<p>Continuously and ongoing</p>

System Improvement

(Describe the process for systems improvement as a result of aggregated discovery and remediation activities.)

1. Methods for Analyzing Data and Prioritizing Need for System Improvement

The State of Connecticut has been utilizing a comprehensive system of checks and balances in order to establish consistent quality assurance within services provided to clients through its Medicaid Waiver and state funded Home Care Program for Elders. The state has been utilizing the same QIS for the 1915(i) participants. The state has been guided by state and federal regulations to assist in establishing procedures and the many varied data collection, aggregation and analysis processes that are currently utilized. Through the productive process of analysis, discovery, remediation and improvement, the state recognizes the benefit to client services that can be obtained through some system design changes.

Statewide chart audits of access agency clients are conducted quarterly. Sampling size of client chart reviews requires a representative sample. Therefore, we have developed a system in which the Access Agencies provide data on supervisory record audits utilizing a tool developed by a Quality Improvement Committee consisting of both Access Agency and Alternate Care Unit (SMA) staff. A system was designed to accomplish a representative sample review by utilizing the data from that supervisory review supplemented by annual reviews done by SMA staff. We have added a quarterly reporting requirement for the Access Agencies to provide a summary report of supervisory record reviews done on a regular basis.

Service Plan

The SMA contracts with Access Agencies who provide independent care managers. The care managers complete a comprehensive, multi-dimensional assessment that is consumer centered and is the basis for the development of the service plan. The assessment instrument is designed to identify unmet needs and health and safety risk factors as well as personal goals. Service plans are updated and revised as client's needs change but no less frequently than annually. Department Utilization Review Nurses review and approve every initial plan of care before the services are implemented. The Care Manager monitors the clients' needs and the delivery of the authorized service plan on a monthly basis. HCBS unit staff also review a representative sample of reassessment plans of care. In addition SMA staff conducts annual record audits of the care managers' records. This combined with the Access Agency supervisory record review, constitutes a representative sample. Access agency care managers have been trained in person centered planning and further training is planned.

A tool was developed for access agency supervisors to complete when conducting supervisory record reviews. The data is summarized and reported to the SMA quarterly.

Consumer satisfaction surveys are conducted by both the Access Agency and SMA staff. The surveys are useful in identifying trends that may require system remediation.

The department is currently a CMS TEFT grant recipient and we are testing the Participant Experience Survey. It is our intention to utilize the PES as our QA survey tool once the testing is complete and CMS determines the final tool.

Qualified Providers:

The state's contracted fiscal intermediary currently credentials all HCBS state plan HCBS providers initially and every two years thereafter. Once credentialed, the provider must enroll directly with the department's MMIS contractor and sign the Medicaid provider agreement. The certifications and qualifications are incorporated into the regulations that govern the CT Home Care Program for Elders (17b-342). The Department has incorporated an expanded administrative review of audits to

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include ver required through contracts, policies and procedures. The State Plan HCBS will operate

to include verification that licensure, certification and qualifications are monitored and documented as required through contracts, policies and procedures. The State Plan HCBS will operate under the same rules as the HCBS Waiver.

The Department cross matches providers with the HHS-OIG Fraud Protection and Detection Exclusion list to block participation of providers found on this list.

Access Agencies perform checks of staff licensure (RN and SW if applicable) routinely at time hire and annual performance review.

The fiscal intermediary is required to have procedures in place to verify that subcontractors meet all of the criteria to be an HCBS provider. They must provide documentation that the subcontractor meets Department standards and requirements to assure provider eligibility, adherence to program requirements and standards, quality of service delivery and that services are delivered in accordance with participants' plans of care.

The fiscal intermediary is contractually obligated to assist providers in meeting the provider qualifications needed to be a participating provider. They offer training programs both for existing providers as well as for providers who wish to enroll. Documentation of the grievances and all of the accompanying correspondence is maintained in a central file in HCBS Unit.

The fiscal intermediary also contractually required to audit a sample of the HCBS providers to ensure that they have appropriate documentation to substantiate the claims that are billed.

Health and Welfare

The Department holds Access Agency meetings bi-monthly for the purpose of disseminating information and discussing issues of concern. Elder Protective Services (PSE), HCBS Unit and Access Agencies collaborate to identify and resolve health and safety concerns. The HCBS Unit Manager and Quality Improvement staff have ongoing consultation and dialogue with the Protective Services for Elders manager as needed on case by case basis.

A workgroup was developed to facilitate discussions between access agencies, PSE and ACU staff with respect to informed risk versus self determination, i.e. what is an acceptable level of risk to both the client and the program.

All findings related to participant safeguards are entered into a data base within the HCBS Unit. Communications occur with the care manager and other Access Agency staff as appropriate for any corrective action or interventions. Access Agency staff monitors the HCBS participants on a monthly basis and will continue to follow up on the identified problem as needed.

Self neglect was identified as a trend in Health and Safety Reporting. Improved collaboration between ACU, PSE and AA's was established for the purpose of updating "best practices" guidelines for care managers when addressing self-neglect issues.

Health standard monitoring is already in place at the Access Agency level, but health promotion questions have been added to the Core Standardized assessment and will be available in reports.

We maintain a web based critical incident reporting system that allows for tracking and trending of critical incidents and facilitates individual and systemic remediation and improvement activities.

There are no HCBS that are provided in a 24 hour supervised environment in which medication administration is done by waiver providers. In Managed Residential Communities, persons lease an independent apartment and waiver services are not provided on a 24 hour basis.

The State of Connecticut has been utilizing a comprehensive system of checks and balances in order to establish consistent quality assurance within services provided to clients through its Medicaid Waiver and state funded Home Care Program for Elders. The state will be utilizing the same QIS for the 1915(i) participants. The state has been guided by state and federal regulations to assist in establishing procedures and the many varied data collection, aggregation and analysis processes that are currently utilized. Through the productive process of analysis, discovery, remediation and improvement, the state recognizes the benefit to client services that can be obtained through some system design changes. Statewide chart audits of access agency clients are conducted quarterly. Sampling size of client chart reviews requires a representative sample. Therefore, we have developed a system in which the Access Agencies provide data on supervisory record audits utilizing a tool developed by a Quality Improvement Committee consisting of both Access Agency and Alternate Care Unit (SMA) staff. A system was designed to accomplish a representative sample review by utilizing the data from that supervisory review supplemented by annual reviews done by SMA staff. We have added a quarterly reporting requirement for the Access Agencies to provide a summary report of supervisory record reviews done on a regular basis.

Service Plan

The SMA contracts with Access Agencies who provide independent care managers. The care managers complete a comprehensive, multi-dimensional assessment that is consumer centered and is the basis for the development of the service plan. The assessment instrument is designed to identify unmet needs and health and safety risk factors as well as personal goals. Service plans are updated and revised as client's needs change but no less frequently than annually. Department Utilization Review Nurses review and approve every initial plan of care before the services are implemented. The Care Manager monitors the clients' needs and the delivery of the authorized service plan on a monthly basis. Alternate Care Utilization Review staff also review a representative sample of reassessment plans of care. In addition SMA staff conducts annual record audits of the care managers' records. This combined with the Access Agency supervisory record review, constitutes a representative sample. Access agency care managers have been trained in person centered planning and further training is planned.

A tool was developed for access agency supervisors to complete when conducting supervisory record reviews. The data is summarized and reported to the SMA quarterly.

Consumer satisfaction surveys are conducted by both the Access Agency and SMA staff. The surveys are useful in identifying trends that may require system remediation.

Qualified Providers

Access Agencies are currently monitoring provider licensure, certification and qualifications at time of enrollment and every two years thereafter. The certifications and qualifications are incorporated into the regulations that govern the CT Home Care Program for Elders (17b-342). The Department has incorporated an expanded administrative review of audits to include verification that licensure, certification

and qualifications are monitored and documented as required through contracts, policies and procedures. The State Plan HCBS will operate under the same rules as the HCBS Waiver.

The Department cross matches providers with the HHS-OIG Fraud Protection and Detection Exclusion list to block participation of providers found on this list.

Access Agencies perform checks of staff licensure (RN and SW if applicable) routinely at time hire and annual performance review.

The Access Agencies are required to have procedures in place to verify that subcontractors meet all of the criteria to be an HCBS provider. They must provide documentation that the subcontractor meets Department standards and requirements to assure provider eligibility, adherence to program requirements and standards, quality of service delivery and that services are delivered in accordance with participants' plans of care.

Access Agencies are contractually obligated to assist providers in meeting the provider qualifications needed to be a participating provider. They offer training programs both for existing providers as well as for providers who wish to enroll. Documentation of the grievances and all of the accompanying correspondence is maintained in a central file in the Alternate Care Unit.

Access Agencies are also contractually required to audit a sample of the HCBS providers to ensure that they have appropriate documentation to substantiate the claims that are billed.

Department audit staff also perform regular audit of the contracted providers to ensure that services are documented and being billed accurately.

The fiscal intermediary performs a comprehensive criminal background check for all self-directed Personal Care Assistants. Participants are advised of the outcome of the background check before services are initiated. The participant may choose to hire a person with a criminal background but are advised by the case manager of the potential risks of that decision.

Health and Welfare

The Department holds Access Agency meetings bi-monthly for the purpose of disseminating information and discussing issues of concern. Elder Protective Services (PSE), Alternate Care Unit and Access Agencies collaborate to identify and resolve health and safety concerns. The Alternate Care Unit Manager and/or Health and Safety Nurse Consultant have ongoing consultation and dialogue with the Protective Services for Elders manager as needed on case by case basis.

A workgroup was developed to facilitate discussions between access agencies, PSE and ACU staff with respect to informed risk versus self determination, i.e. what is an acceptable level of risk to both the client and the program.

All findings related to participant safeguards are entered into a data base within the Alternate Care Unit. Communications occur with the care manager and other Access Agency staff as appropriate for any corrective action or interventions. Access Agency staff monitors the HCBS participants on a monthly basis and will continue to follow up on the identified problem as needed.

Self neglect was identified as a trend in Health and Safety Reporting. Improved collaboration between ACU, PSE and AA's was established for the purpose of updating "best practices" guidelines for care managers when addressing self-neglect issues.

Health standard monitoring is already in place at the Access Agency level, but data aggregation and reporting, including analysis for trending of this information, will be initiated in ACU in SFY 2012. Health promotion and prevention questions will be added to the Uniform Assessment Instrument and reported annually allowing for further analysis.

We intend to transition to a web based critical incident reporting system that was developed for the MFP Demonstration. This change is targeted for SFY 2014. In the interim, we track critical incident reports in an access data base.

There are no HCBS that are provided in a 24 hour supervised environment in which medication administration is done by waiver providers. In Managed Residential Communities, persons lease an independent apartment and waiver services are not provided on a 24 hour basis.

A performance measure has been added to our critical incident reporting system to identify any use of restrictive interventions such as restraints and seclusion. The care managers as part of their face to face assessments and reassessments will review for the use of restrictive interventions and intervene as indicated by the presenting situation.

Financial Accountability

The State of Connecticut contracts with HP (formerly EDS) to employ a data system to ensure reimbursement is consistent with HCBS requirements. The Department introduced the MMIS system Interchange for the purpose of upgrading the old claims processing system. It is now a Windows environment. The provider relations unit oversees the contract with HP, as part of the medical operations process. They can make changes to procedure codes, edits and audits. Clients are identified by Medical Eligibility or Benefit Plan code. Providers are based on type and specialty. The system is designed to make sure it can be billed only for what is allowed through the edits and audits system. We have requested this report from MAR on a semi-annual basis. Problematic providers will be identified for potential additional training. MAR reports 382 and 383 are already in place and can be separated by Medicaid eligibility code to identify the number, percent of denied claims, the error code reason, provider number, top 5 most frequently occurring error reasons, error status code. The reports will be the basis for determining if systems changes are needed. It will allow for the tracking of trends and identify problematic service providers. The SMA will use the reporting to identify remediation needs or system changes.

2. Roles and Responsibilities

The SMA HCBS unit is responsible for the Quality Management and compliance with the performance measures in this state plan HCBS

3. Frequency

Monitoring activities are continuous and ongoing.

4. Method for Evaluating Effectiveness of System Changes

Evaluation methods are varied and are described in the narrative above.

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Methods and Standards for Establishing Payment Rates

1. Services Provided Under Section 1915(i) of the Social Security Act. For each optional service, describe the methods and standards used to set the associated payment rate. *(Check each that applies, and describe methods and standards to set rates):*

✓	<p>HCBS Case Management</p> <p>Rates are determined by the Department's Rate Setting Unit. Pursuant to the Connecticut Department of Social Services Provider Manual, all schedules of payment for covered Medical Assistance Program goods and services shall be established by the Commissioner of Social Services and paid by the Department of Social Services in accordance with applicable federal and State states and regulations. Except as noted in the plan, state developed fee schedule rates are published at www.ctdssmap.com.</p> <p>The majority of the regularly scheduled services provided to clients utilize a fixed fee schedule. Fee-for-service billing from an established fee schedule pays uniform rates across providers and are called “max fee” within the Medicaid Management Information System. This program does not pay a percent of usual and customary charges. Payments are uniform for all providers and limited to the lower of the amount claimed or the amount published on the fee schedule for that service.</p>
✓	<p>HCBS Homemaker</p> <p>Same as HCBS Case Management above and priced at max fee</p>
☐	<p>HCBS Home Health Aide</p>
☐	<p>HCBS Personal Care</p>
✓	<p>HCBS Adult Day Health</p> <p>Same as HCBS case management above and priced at max fee</p>
☐	<p>HCBS Habilitation</p>
✓	<p>HCBS Respite Care</p> <p>Same as HCBS case management above and priced at max fee</p>
<p>For Individuals with Chronic Mental Illness, the following services:</p>	
☐	<p>HCBS Day Treatment or Other Partial Hospitalization Services</p>
☐	<p>HCBS Psychosocial Rehabilitation</p>
☐	<p>HCBS Clinic Services (whether or not furnished in a facility for CMI)</p>

✓	Other Services (specify below)
	HCBS Companion- Same as HCBS case management above and priced at max fee
	HCBS Chore-Same as HCBS case management above and priced at max fee
	HCBS Assisted Living- Same as HCBS Case Management above and priced at max fee
	HCBS Assistive Technology- Manual pricing is used for assistive technology equipment or other services such as home modifications that require manual pricing. These services are, however, capped to a maximum level as identified in the SPA document. Rates for assistive technologies are case-specific and not published in the fee schedule. Reimbursement for assistive technology is based on actual service contracts for the services rendered. The fiscal intermediary reimburses the contractor. The fiscal intermediary is reimbursed through the Medicaid Management Information System based upon submitted claims.
	HCBS Environmental Accessibility Adaptations- Manual pricing is used for home modifications that require manual pricing. These services are, however, capped to a maximum level as identified in the SPA document. Minor Home Modifications required by the individual's plan of care which are necessary to ensure health, welfare and safety of the individuals to function with greater independence in their home and without which the individual would require institutionalization. Such adaptations may include the installation of hand rails and grab bars in the tub area, widening of doors and installation of ramps. Excluded are those adaptations or improvements to the home which are of general utility and are not of direct medical or remedial benefit to the individuals such as carpeting, roof repair or air conditioning. Adaptations which add to the total square footage of the home are excluded from this benefit. All services shall be provided in accordance with applicable state or local building codes. Adaptations are excluded if the residence is owned by someone other than the participant and the adaptations would be the responsibility of the owner/landlord. Rates for environmental modifications are case-specific and not published in the fee schedule. Reimbursement for environmental modifications is based on the lower of at least two bids from licensed contractors. The fiscal intermediary reimburses the contractor. The fiscal intermediary is reimbursed through the Medicaid Management Information System based upon submitted claims. This service is subject to department prior authorization
	HCBS Home Delivered Meals- This service is the same as HCBS case management and is priced at max fee
	HCBS Adult Family Living- This service has a tiered rate and is the same as HCBS case management and is priced at max fee
	HCBS Mental Health Counseling- Mental Health Counseling service is priced at max fee. Fee schedule rates are published at www.ctdssmap.com
	HCBS Personal Emergency Response Systems- Personal Emergency Response System service is priced at max fee
	HCBS Transportation- Transportation Service is priced at max fee. Fee schedule rates are published at www.ctdssmap.com
	HCBS Bill Payer- this service is priced at max fee and published in the fee schedule

	HCBS Chronic Disease Self Management Programs- This service is priced at max fee and published in the fee schedule
	HCBS Recovery Assistant- this service is priced at max fee and published in the fee schedule
	HCBS Agency Based Personal Care Assistant- this service is priced at max fee and is published in the fee schedule
	HCBS Care Transitions- this service is priced at max fee and is published in the fee schedule

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Groups Covered

Optional Groups other than the Medically Needy

In addition to providing State plan HCBS to individuals described in 1915(i)(1), the state may **also** cover the optional categorically needy eligibility group of individuals described in 1902(a)(10)(A)(ii)(XXII) who are eligible for HCBS under the needs-based criteria established under 1915(i)(1)(A) and have income that does not exceed 150% of the FPL, or who are eligible for HCBS under a program approved for the state under Section 1915(c), (d) or (e) or Section 1115 (even if they are not receiving such services), and who do not have income that exceeds 300% of the supplemental security income benefit rate. See 42 CFR § 435.219. (*Select one*):

No. Does not apply. State does not cover optional categorically needy groups.

Yes. State covers the following optional categorically needy groups.

(*Select all that apply*):

(a) Individuals not otherwise eligible for Medicaid who meet the needs-based criteria of the 1915(i) benefit, have income that does not exceed 150% of the federal poverty level, and will receive 1915(i) services. There is no resource test for this group. Methodology used: (*Select one*):

SSI. The state uses the following less restrictive 1902(r)(2) income disregards for this group. (*Describe, if any*):

OTHER (*describe*):

(b) Individuals who are eligible for home and community-based services under a program approved for the State under section 1915(c), (d) or (e) (even if they are not receiving such services), and who do not have income that exceeds 300% of the supplemental security income benefit rate.

Income limit: (*Select one*):

300% of the SSI/FBR

Less than 300% of the SSI/FBR (*Specify*): _____%

Specify the applicable 1915(c), (d), or (e) program or programs for which these individuals would be eligible: *(Specify program name(s) and number(s))*:

- (c) Individuals eligible for 1915(c), (d) or (e) -like services under an approved 1115 program. The income and resource standards and methodologies are the same as the applicable approved 1115 program.

Specify the 1115 program demonstration or demonstrations for which these individuals would be eligible. *(Specify demonstration name(s) and number(s))*:

PRA Disclosure Statement

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