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

PURPOSE OF THE HCBS WAIVER PROGRAM

The Medicaid Home and Community-Based Services (HCBS) waiver program is authorized in section 1915(c) of the Social Security Act. The program permits a state to furnish an array of home and community-based services that assist Medicaid beneficiaries to live in the community and avoid institutionalization. The state has broad discretion to design its waiver program to address the needs of the waiverï¿½s target population. Waiver services complement and/or supplement the services that are available to participants through the Medicaid state plan and other federal, state and local public programs as well as the supports that families and communities provide.

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

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

1. Major Changes

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

This renewal application includes the following significant changes:

• Update reference to 1915(b)(4) waiver (Main G)

• Revise unduplicated number of participant counts (App B-3-a)

• Revise cost neutrality demonstration (App J)

• Make technical changes to revise or delete obsolete language/provisions/web references throughout.

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

1. Request Information (1 of 3)

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

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

Community Integration and Habilitation Waiver

C. Type of Request: renewal

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

○ **3 years** ◉ **5 years**

Original Base Waiver Number: IN.0378
Waiver Number:IN.0378.R05.00
Draft ID: IN.006.05.00

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

Regular Waiver

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

06/13/2025

07/16/25

Approved Effective Date: 07/16/25

PRA Disclosure Statement

The purpose of this application is for states to request a Medicaid Section 1915(c) home and community-based services (HCBS) waiver. Section 1915(c) of the Social Security Act authorizes the Secretary of Health and Human Services to waive certain specific Medicaid statutory requirements so that a state may voluntarily offer HCBS to state-specified target group(s) of Medicaid beneficiaries who need a level of institutional care that is provided under the Medicaid state plan. Under the Privacy Act of 1974 any personally identifying information obtained will be kept private to the extent of the law.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0449 (Expires: December 31, 2023). The time required to complete this information collection is estimated to average 160 hours per response for a new waiver application and 75 hours per response for a renewal application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

1. Request Information (2 of 3)

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

☐ **Hospital**

Select applicable level of care

○ **Hospital as defined in 42 CFR § 440.10**

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

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

☐ **Nursing Facility**

Select applicable level of care

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

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

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

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

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

1. Request Information (3 of 3)

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

Select one:

- ○ **Not applicable**
- ◉ **Applicable**

Check the applicable authority or authorities:

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

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

A renewal of the state's 1915(b)(4) waiver for case management services is effective July 16, 2025 through July 15, 2030.

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

- ☐ **section 1915(b)(1) (mandated enrollment to managed care)**
- ☐ **section 1915(b)(2) (central broker)**
- ☐ **section 1915(b)(3) (employ cost savings to furnish additional services)**
- ☒ **section 1915(b)(4) (selective contracting/limit number of providers)**

- ☐ **A program operated under section 1932(a) of the Act.**

Specify the nature of the state plan benefit and indicate whether the state plan amendment has been submitted or previously approved:

- ☐ **A program authorized under section 1915(i) of the Act.**
- ☐ **A program authorized under section 1915(j) of the Act.**
- ☐ **A program authorized under section 1115 of the Act.**

Specify the program:

H. Dual Eligiblity for Medicaid and Medicare.

Check if applicable:

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

2. Brief Waiver Description

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

PURPOSE: The CIH waiver provides Medicaid home and community-based services(HCBS) waiver services to participants in a range of community settings as an alternative to care in an intermediate care facility for individuals with intellectual disabilities(ICF/IID)or related conditions.

The waiver serves persons with a developmental disability, intellectual disability, or autism, and have substantial functional limitations (as defined under the paragraph for “Persons with related conditions” in 42 CFR 435.1010). Participants may choose to live in their own home, family home, or community setting appropriate to their needs. Participants develop a Person-Centered Individualized Support Plan(PCISP)for service plan development. Developing the PCISP is based on the Charting the LifeCourse(CTLC)Framework™ which is comprised of eight principles and a set of tools that support the use and application of them. The CTLC framework identifies a participant’s health and safety needs in balance with his or her aspirations and preferences to develop a plan that integrates a variety of services and supports to help the participant achieve his or her good life. The PCISP is developed by the participant with support from the case manager. Others of the participant’s choosing may participate in the development of the PCISP. This group forms the Individualized Support Team(IST).The PCISP first identifies the participant’s preferences, aspirations, and health and safety needs. By addressing the participant’s outcomes and needs, the PCISP details what the participant wants to accomplish within a given year to achieve a good life across a variety of life domains. The PCISP identifies the services and supports that are funded by the waiver and is routinely developed to cover a time frame of twelve consecutive months. The PCISP is subject to an annual cost limit established by the assessment process described under Appendix C-4-a, Budget Limits by Level of Support.

GOALS AND OBJECTIVES: The CIH waiver provides access to meaningful and necessary home-and community-based services and supports, seeks to implement services and supports in a manner that respects the participant’s preferences, aspirations, and health and safety needs, ensures that services are cost-effective, facilitates the participant’s involvement in the community where he or she lives and works, facilitates the participant’s development of social relationships in their home and work communities, and facilitates the participant’s independent living.

ORGANIZATIONAL STRUCTURE: The Family and Social Services Administration (FSSA) is the Single State Medicaid Agency. The Indiana Division of Disability and Rehabilitative Services (DDRS), a division under FSSA, has been given the authority to administer the CIH Waiver. The Office of Medicaid Policy and Planning (OMPP), also a division under FSSA, has been given the administrative authority for the CIH waiver by FSSA. The Bureau of Disabilities Services (BDS), a bureau under DDRS, performs the daily operational tasks of the waiver.

SERVICE DELIVERY METHODS: Traditional service delivery methods are utilized while incorporating as much flexibility as possible within the delivery of services. In accordance with Section 1902(h)(1) of the Act, the state assures that HCBS will only be provided to an individual in an acute care hospital when such services are:
- Provided to meet needs of the individual that are not met through the provision of acute care hospital services;
- Not a substitute for the services the acute care hospital is obligated to provide;
- Identified in the individual’s person-centered service plan; and
- Used to ensure smooth transitions between acute care setting and community-based settings and to preserve the individual’s functional abilities.

QUALITY MANAGEMENT: Indiana’s quality management system for the CIH waiver includes monitoring, discovery, and remediation processes to ensure the waiver is operated in accordance with federal and state requirements, to ensure participant health and welfare, to ensure participant goals and preferences are part of the person-centered planning process and reflected in the PCISP, and as the basis to identify opportunities for ongoing quality improvement.

3. Components of the Waiver Request

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

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

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

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

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

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

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

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

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

H. Quality Improvement Strategy. Appendix H contains the quality improvement strategy for this waiver.

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

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

4. Waiver(s) Requested

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

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

- ◉ **Not Applicable**
- ○ **No**
- ○ **Yes**

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

- ◉ **No**
- ○ **Yes**

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

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

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

5. Assurances

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

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

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

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

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

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

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

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

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

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

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

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

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

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

I. Habilitation Services. The state assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the

individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.

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

6. Additional Requirements

Note: Item 6-I must be completed.

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

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

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

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

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

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

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

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

Appendix H.

I. Public Input. Describe how the state secures public input into the development of the waiver:

DDRS routinely obtains public input and collaborates with key stakeholders in the state through the following methods:
• DDRS' Executive Management Team accepts public input from nationally recognized organizations, professional trade associations, and leaders among the service providers, in addressing concerns and suggestions on behalf of the group and the participants each represents in regard to DDRS program policy and operations. This input is considered as policies are developed. With FSSA's approval, policies and updates are posted to DDRS' Website. DDRS hosts monthly provider webinars for statewide service providers announcing any waiver-related policy releases or updates authorized by FSSA, and meets with individual providers as needed or requested. DDRS also meets with small groups of parents and providers and intermittently attends other organized meetings of advocacy groups.
• DDRS hosts Building Bridges events which are opportunities for families and self-advocates to meet and speak with the Bureau of Disabilities Services (BDS) state staff. These sessions are an important part of the Bureau's efforts to create direct avenues for individuals and families to share their feedback on waiver services and supervised group living.
• The monthly Advisory Council meeting (established within IC 12-9-4) consisting of the Director of DDRS and ten other participants with knowledge of or interest in the programs administered by the Division. All ten are appointed by the Secretary of the Indiana Family and Social Services Administration, the State Medicaid Agency, and represent a wide and diverse membership including providers, parents, self-advocates, the Department of Education, and other Bureaus within the Division; including First Steps and Vocational Rehabilitation. The Council's mission is to recommend strategies and actions that will ensure DDRS empowers people with disabilities to be independent and self-sufficient.
• DDRS maintains an electronic helpline available 24 hours daily, serving as a source of answering general questions surrounding programs, policies and procedures and as a receptor of suggestions and ideas from any interested party.
• Public forums and Webinars are held as needed toward the dissemination of program or operational changes.

The public comment period for this Community Integration and Habilitation (CIH) Waiver was held for 33 days from January 22, 2025 through February 23, 2025. Electronic copies of the public notice and the entire waiver renewal application were posted on the FSSA webpage at http://www.in.gov/fssa/ddrs/4205.htm and the Indiana Register website at http://iac.iga.in.gov/iac/irtoc.htm. Additionally, paper copies of the public notice and the entire waiver renewal application were made available at local Division of Family Resources offices and local Bureau of Disabilities Services (BDS) offices. The tribal consultation period was held for 60 days from January 8, 2025 through March 9, 2025.

Three webinars were hosted at which FSSA presented a summary of the waiver renewal applications and how to submit comments. A recording of the webinar was made available for replay on the FSSA website.

The comment period for the CIH Waiver, the Family Supports (FS) Waiver, and the 1915(b)(4) waiver for case management services ran concurrently. Many commenters provided broad comments that addressed elements included in one or more of the waivers or provided comments that were general to all waiver submissions. As a result, the following summary of comments is inclusive of all comments received by DDRS during this period. All public comments and dates of public notice for this waiver renewal application are retained on record and available for review.

The state received twenty-eight (28) comments regarding the proposed waiver renewals. Comments are summarized below and are grouped by theme, followed by state response.

Comments Related to Proposed Changes (CIH and FS)
Concurrent 1915(b)(4): One commenter expressed concern regarding the concurrent operation of the 1915(b)(4) HCBS Case Management Selective Contracting Program with the CIH and FS Waivers and requested clarification regarding purpose of the program and the process for selective.
Response: As specified in the 1915(b)(4) waiver application, the purpose of the HCBS Case Management Selective Contracting Program is to limit the number of entities providing case management services and thereby allowing the state to engage in more robust oversight and monitoring activities related to the provision of this pivotal service. Under this program, the state ensures vendors have exceptional and sustained knowledge of local resources and consistently provide high quality case management services to individuals across the state. The selective contracting process for this program was conducted in accordance with all state requirements. The state is not making changes to the waiver based on these comments.

Unduplicated Number of Participants and Entrance to the Waiver: Ten commenters recommended that the state not reduce the projected number of unduplicated participants and several indicated that additional projected slots were needed. Two commenters recommended the state replace persons who vacate the waiver by refilling slots within the waiver year.
Response: While the projections for the unduplicated number of participants in the renewal application do limit the

number of new enrollees, these updates are not expected to impact enrollment for active participants. Projections for future waiver years continue to exceed the number of active participants and accommodate additional enrollees. Qualifications for entry to the waiver program are not changed. The state is not making changes to the waiver based on these comments.

PUBLIC INPUT IS CONTINUED IN MAIN: B. Additional Needed Information (Optional) TEXT FIELD OF THIS RENEWAL.

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

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

7. Contact Person(s)

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

Last Name: Gilbert

First Name: Brian

Title: Manager, Program Administration

Agency: Indiana Family & Social Services Administration, Office of Medicaid Policy and Planning

Address: 402 W. Washington St., Room W374 (MS07)

Address 2:

City: Indianapolis

State: **Indiana**

Zip: 46204-2739

Phone: (317) 233-3340 **Ext:** ☐ **TTY**

Fax: (317) 232-7382

E-mail: brian.gilbert@fssa.in.gov

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

Last Name: Mitchell

First Name: Kelly

Title: Director of the Division of Disability and Rehabilitative Services

Agency: Indiana Family and Social Services Administration, Division of Disability and Rehabilitative

Address: 402 W. Washington St., Room W451 (MS26), PO Box 7083

Address 2:

City: Indianapolis

State: **Indiana**

Zip: 46207-7083

Phone: (317) 619-1943 **Ext:** ☐ **TTY**

Fax: (317) 232-1240

E-mail: kelly.mitchell@fssa.in.gov

8. Authorizing Signature

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

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

Signature: BRIAN GILBERT

State Medicaid Director or Designee

Submission Date: May 15, 2025

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

Last Name: Roob

First Name: E. Mitchell

Title: Indiana Interim Medicaid Director

Agency: Indiana Family & Social Service Administration, Office of Medicaid Policy & Planning

Address: 402 West Washington Street, Room W374 (MS07)

Address 2:

City: Indianapolis

State: **Indiana**

Zip: 46204

Phone: (317) 234-8725 **Ext:** ☐ **TTY**

Fax: (317) 232-7382

E-mail: Mitch.roob@fssa.in.gov

Attachments

Attachment #1: Transition Plan

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

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

Specify the transition plan for the waiver:

The Indiana Family and Social Services Administration (FSSA) attests that the lower participant limit has the effect of eliminating unassigned slots, and it will have sufficient service capacity to serve at least the number of current participants enrolled in the waiver as of the effective date of the amendment.

Attachment #2: Home and Community-Based Settings Waiver Transition Plan

Specify the state's process to bring this waiver into compliance with federal home and community-based (HCB) settings requirements at 42 CFR 441.301(c)(4)-(5), and associated CMS guidance.

Consult with CMS for instructions before completing this item. This field describes the status of a transition process at the point in

time of submission. Relevant information in the planning phase will differ from information required to describe attainment of milestones.

To the extent that the state has submitted a statewide HCB settings transition plan to CMS, the description in this field may reference that statewide plan. The narrative in this field must include enough information to demonstrate that this waiver complies with federal HCB settings requirements, including the compliance and transition requirements at 42 CFR 441.301(c)(6), and that this submission is consistent with the portions of the statewide HCB settings transition plan that are germane to this waiver. Quote or summarize germane portions of the statewide HCB settings transition plan as required.

Note that Appendix C-5 HCB Settings describes settings that do not require transition; the settings listed there meet federal HCB setting requirements as of the date of submission. Do not duplicate that information here.

Update this field and Appendix C-5 when submitting a renewal or amendment to this waiver for other purposes. It is not necessary for the state to amend the waiver solely for the purpose of updating this field and Appendix C-5. At the end of the state's HCB settings transition process for this waiver, when all waiver settings meet federal HCB setting requirements, enter "Completed" in this field, and include in Section C-5 the information on all HCB settings in the waiver.

Completed.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

MAIN: I. Public Input IS CONTINUED HERE FOR THE 07.16.2025 RENEWAL:

Reimbursement: One commenter requested clarification regarding the relationship between reimbursement rates and the average cost per unit referenced in Appendix J: Estimate of Factor D.
Response: The estimate of Factor D found in Appendix J reflects projected spend per unit rather than actual service reimbursement rates. Reimbursement rates can be found in the IHCP Bulletins and/or the DDRS HCBS Waivers Provider Reference Module. The state is not making changes to the waiver based on this comment.

Comments Related to the CIH and FS Waivers But Beyond the Scope of the Proposed Changes

Eligibility: Six commenters articulated their belief that individuals under the age of 18 who apply for the CIH waiver are required to have a Department of Child Services evaluation prior to being granted entrance onto the waiver. All six commenters expressed concern regarding this perceived requirement and requested that the state provide more guidance to applicants regarding the perceived requirement.
Response: The state refers CIH applicants (when appropriate) to the Department of Child Services to explore the availability of additional support services and does not require a Department of Child Services evaluation to make waiver eligibility determinations. The referenced referral does not impact waiver eligibility determinations. All waiver eligibility determinations are made in accordance with waiver requirements and applicable regulations. The state is not making changes to the waiver based on these comments.

CIH Reserved Waiver Capacity: One commenter recommended the state modify its emergency placement criteria for reserved waiver capacity to allow entrance to the CIH waiver when a caregiver receives a terminal diagnosis rather than waiting for the death of the caregiver.
Response: The state is not making the suggested changes at this time but will retain and re-consider these comments for future amendments.

FS Reserved Waiver Capacity: One commenter expressed concern about reducing the reserved capacity slots for the waiver. Another commenter requested the state provide additional guidance to individuals who transition from H&W waiver to the FS waiver because they no longer meet nursing facility level of care (NFLOC).
Response: No reductions were made to the reserved waiver capacity in the FS renewal application. The state will update its FS waiver fact sheet to include reserve capacity for those on the H&W waiver who no longer meet NFLOC. The state is not making changes to the waiver based on these comments.

Services - Home Delivered Meals: Two commenters suggested the state add a Home Delivered Meals service to the CIH and FS waivers.
Response: The state is not making the suggested change at this time but will retain and re-consider these comments for future amendments.

Services - Intensive Behavioral Intervention (IBI): One commenter suggested that the costs of the IBI service should be funded outside the FS waiver cap.
Response: The state is not making the suggested change at this time but will retain and re-consider these comments for future amendments.

Services - Life Coaching Service (LCS): One commenter suggested the state add a Life Coaching Service to the CIH waiver and allow LCS as an alternative to VR services.
Response: The state is not making the suggested changes at this time but will retain and re-consider these comments for future amendments.

Services - Music Therapy: One commenter suggested modifications to the music therapy service definition requested the state require credentialing for music therapy providers.
Response: The state is not making the suggested changes at this time but will retain and re-consider these comments for future amendments.

Services - Psychological Services: Two commenters suggested the state add Eye Movement Desensitization and Reprocessing (EMDR) therapy as reimbursable activity under Psychological Services.
Response: The state is not making the suggested change at this time but will retain and re-consider these comments for future amendments.

Services - Residential Habilitation (RH): One commenter suggested the state add Residential Habilitation services to the FS

waiver.
Response: The state is not making the suggested change at this time but will retain and re-consider these comments for future amendments.

Self-Direction: One commenter recommended expanding participant self-direction on the CIH waiver. Another commenter suggested adding self-direction to the FS waiver.
Response: The state is exploring expansion of self-direction options in a future amendment. Proposed changes will be made available for public comment prior to submission to CMS.

Legally Responsible Individuals (LRI): Two commenters requested the state allow LRI's to provide paid care under all waivers using the NASDDDS extraordinary care provisions.
Response: The state is not making the suggested change at this time but will review the NASDDDS extraordinary care provisions and re-consider these comments for future amendments.

2% Rate Indexing: Two commenters encouraged the state to provide the 2% index annually. One of the commenters noted the relationship between higher wages and increased quality of care.
Response: The state is not making the suggested change at this time but will retain and re-consider these comments for future amendments.

Additional Waivers and/or Support Options: One commenter stated that the IDD waivers do not meet needs of people with physical challenges and the skilled NF waivers do not meet needs of individuals with IDD. The commenter recommended the state launch an additional waiver that would offer more services than the FS waiver but fewer services than the CIH waiver.
Response: The state is not making the suggested change at this time but will retain and re-consider these comments for future amendments.

Support and Appreciation: Several commenters indicated support and/or gratitude for the HCBS programs and services, use of LifeCourse Framework, the state's efforts to enable individuals to live their best life while balancing financial sustainability and maintaining waiver services. Other commenters expressed appreciation for the state's grievance and incident reporting processes, allowing case managers to assist with appeals and the implementation of BDS Gateway Portal enabling online applications.
Response: Thank you for your support.

Questions Regarding Unique Circumstances and Comments Unrelated to the CIH and FS Waivers

Medicaid Eligibility Aid Categories: Two commenters suggested adding Healthy Indiana Plan (HIP) categories as compatible with waiver coverage to reduce delays in obtaining waiver services resulting from the need to change waiver compatible aid categories.
Response: Thank you for the information. This programmatic change is not possible at this time. We will ensure this information is forwarded to the appropriate staff within FSSA for further consideration.

Questions Regarding Unique Circumstances: The state received questions regarding the unique circumstances of individuals, families and providers. Topics for these unique circumstances included prior authorization cuts, provider corrective action plans and related appeals processes.
Response: The state is ensuring these requests are routed to the appropriate FSSA staff and addressed on a case-by-case basis.

APPENDIX I-1: FINANCIAL INTEGRITY AND ACCOUNTABILITY IS CONTINUED here for the 07/01/2024 AMENDMENT:

The State implemented an Electronic Visit Verification (EVV) system, known as the Sandata EVV System, that complies with the requirements of the federal 21st Century Cures Act. The IHCP CoreMMIS claim-processing system has been configured to integrate with the Sandata EVV system. IHCP requires that providers use the EVV system to document the following: Date of the service; Location of service delivery; Individual providing the service; Type of service performed; Individual receiving the service; Time the service begins and ends. Providers may choose to use an EVV system other than Sandata. However, those providers will be required to export data from their alternate system to the Sandata "Aggregator" for integration with CoreMMIS.

Appendix A: Waiver Administration and Operation

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

◉ **The waiver is operated by the state Medicaid agency.**

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

○ **The Medical Assistance Unit.**

Specify the unit name:

(Do not complete item A-2)

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

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

Division of Disability and Rehabilitative Services (DDRS)

(Complete item A-2-a).

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

Specify the division/unit name:

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

Appendix A: Waiver Administration and Operation

2. Oversight of Performance.

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

The Family and Social Services Administration (FSSA) is the Single State Medicaid agency authorized to administer Indiana's Community Integration and Habilitation (CIH) waiver. The waiver is operated by the Division of Disability and Rehabilitative Services (DDRS), a division under the Single State Medicaid Agency. The Office of Medicaid Policy and Planning (OMPP), a division under the Single State Medicaid Agency, is responsible for monitoring DDRS's operation of the waiver through:

• A Quality Management Plan that outlines in detail the quality assurance responsibilities and activities. This Plan is derived from the performance measures included in this waiver renewal. As part of FSSA's oversight authority for assuring participants' service plans (which include risk plans for identified health issues) are appropriate and effective, OMPP has selected several administrative authority and key health issues to monitor for participants with developmental disabilities. Monitoring is conducted to ensure issues are identified timely and addressed appropriately.

• Ongoing and periodic reporting and analysis of data, including service utilization data, claims data, and reportable events. OMPP receives management reports from DDRS, BDS, and the fiscal agent. These reports include:

o From BDS, the QA/QI contractor's quarterly management report, which contains aggregate data from complaints, incident reports, mortality reviews, and trend analysis; and
o From the fiscal agent, monthly and quarterly management reports.

• Periodic inter-division meetings to discuss activities, issues, outcomes, and needs, and to jointly plan ongoing system improvements and remediation, when indicated. FSSA Management teams meet bi-weekly to review programs, recommend changes, and address programming concerns. The performance of contracting entities is reviewed, discussed, and addressed as needed during these meetings.
Termination of a vendor contract is possible should the contractor be unable or unwilling to meet the expectations of the state.

OMPP exercises oversight of operation of the waiver through the following activities:

• Annually, OMPP and Division of Finance, a division under the single State Medicaid agency, supervises the development of the CMS annual waiver expenditure reports, reviews the final report with DDRS, and identifies problem areas that may need to be discussed and resolved with DDRS prior to submission by FSSA.

• Monthly, OMPP and Division of Finance reviews Medicaid waiver expenditure reports, after which any identified problems will be discussed and resolved with DDRS.

• Daily, FSSA (or FSSA's fiscal agent) reviews, approves, and assures payment of Medicaid claims for waiver services consistent with FSSA established policy.

• On an ongoing basis, FSSA is responsible for oversight of all waiver activities (including level of care (LOC) determinations, plan of care reviews, identification of trends and outcomes, and initiating action to achieve desired outcomes), retaining final authority for approval of level of care and plans of care.

• OMPP develops Medicaid policy for the State of Indiana and on an ongoing and as needed basis, works collaboratively with DDRS to formulate policies specific to the waiver or that have a substantial impact on waiver participants.

• OMPP seeks and reviews comments from DDRS before the adoption of rules or standards that may affect the services, programs, or providers of medical assistance services for participants with intellectual disabilities who receive Medicaid services.

• FSSA, and FSSA's fiscal agent, approves and enrolls all providers of waiver services.
• OMPP and DDRS collaborate to revise and develop the waiver application to reflect current FSSA goals and policy programs.

• OMPP reviews and approves all waiver manuals, bulletins, communications regarding waiver policy, and quality assurance/improvement plans prior to implementation or release to providers, participants, families, or any other entity.

• FSSA retains final authority for rate-setting of provider rates and any activities reimbursed through administrative funds, and coverage and criteria for all Medicaid services including state plan services.

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

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

Appendix A: Waiver Administration and Operation

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

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

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

A contract exists between the FSSA, the single State Medicaid Agency (or an FSSA division or bureau), and each contracted entity listed below that sets forth the responsibilities and performance requirements of the contracted entity. The contract(s) under which these entities conduct waiver operational functions are available to CMS upon request through the State Medicaid agency or the operating agency (as applicable).

Specific to the operational and administrative functions of this waiver, the following activities are conducted by contracted entities.

FISCAL AGENT is responsible for:
• Reimbursement of claims for authorized waiver services submitted by authorized waiver providers;
• Enrollment of qualified providers for waiver services;
• Conducting periodic training and providing technical assistance to waiver providers on waiver requirements;
• Timely submission of monthly and quarterly reports for all contracted activities;
• Collecting and analyzing waiver paid claims data; and
• Compiling waiver claims data to meet CMS annual waiver reporting requirements.

UTILIZATION MANAGEMENT CONTRACTORS:
The waiver auditing function is incorporated into the Program Integrity (PI) functions of the contract between the Medicaid agency and the Fraud and Abuse Detection System (FADS) contractor. FSSA has expanded its Program Integrity activities by using a multipronged approach to PI activity that includes provider self-audits, contractor desk audits, and full on-site audits. The FADS contractor sifts and analyzes claims data and identifies providers and claims that indicate aberrant billing patterns or other risk factors, such as correcting claims.

FSSA or any other legally authorized governmental entity (or their agents) may at any time during the term of the provider agreement and in accordance with Indiana Administrative Code conduct audits for the purposes of assuring the appropriate administration and expenditure of the monies provided to the provider through this provider agreement. Additionally, FSSA may at any time conduct audits to assure appropriate administration and delivery of services under the provider agreement.

The Program Integrity activities describe post-payment financial audits to ensure the integrity of IHCP payments. Detailed information on PI policy and procedures is available in the IHCP Provider and Member Utilization Review provider reference module.

Program Integrity receives allegations of Medicaid provider fraud, waste, and abuse and tracks these in its case management system. To begin investigating these allegations, Program Integrity vets the providers with the Medicaid Fraud Control Unit (MFCU). Once it receives MFCU’s clearance FSSA Audit determines how to best validate the accuracy of the allegation.

Program Integrity conducts its audit activities and develops a findings report for the provider which may include a corrective action plan and request for overpayment.

FSSA maintains oversight throughout the entire Program Integrity process. Although the FADS contractor may be incorporated in the audit process, no audit is performed without the authorization of FSSA. FSSA’s oversight of the contractor’s aggregate data is used to identify common problems to be audited, determine benchmarks, and offer data to peer providers for educational purposes, when appropriate.

QUALITY ASSURANCE/QUALITY IMPROVEMENT CONTRACTOR is responsible for:
• Complaint investigation;
• Incident review;
• Mortality review;
• Quality on-site provider reviews; and
• Provider training and technical assistance.

ACTUARIAL CONTRACTOR is responsible for:
• Completing cost neutrality calculations for the waiver;
• Budget planning and forecasting;
• Waiver development;
• Developing and assessing rate methodology for home and community-based services; and
• Cost surveys and calculating rate adjustments.

NCI SURVEY CONTRACTOR is responsible for:
• National Core Indicator (NCI) surveys

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

Appendix A: Waiver Administration and Operation

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

◉ **Not applicable**

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

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

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

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

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

Appendix A: Waiver Administration and Operation

5. Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities. Specify the state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:

Assessment of Performance of FISCAL AGENT
OMPP is responsible for assessing performance of the Medicaid Fiscal Agent.

Assessment of Performance of UTILIZATION MANAGEMENT CONTRACTOR
The oversight of the performance of the Fraud and Abuse Detection System (FADS) contract is performed by Program Integrity (PI).

Assessment of Performance of QUALITY ASSURANCE/QUALITY IMPROVEMENT CONTRACTOR
The Bureau of Disabilities Services (BDS) conducts monitoring and oversight of the Quality Assurance/Quality Improvement contractor.

Assessment of Performance of ACTUARIAL CONTRACTOR
The OMPP has oversight responsibility of the Actuarial contractor.

Assessment of Performance of NCI SURVEY CONTRACTOR
The DDRS has oversight responsibility of the NCI Survey contractor.

Appendix A: Waiver Administration and Operation

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

Assessment Methods and Frequency for FISCAL AGENT
OMPP oversees the Fiscal Agent to ensure waiver providers are enrolled timely and in accordance with requirements under 42 CFR 455 Subpart E. The Fiscal Agent is contractually required to enroll providers within 20 business days for paper applications and 15 business days for electronic portal submissions. OMPP reviews weekly and monthly reports from the Fiscal Agent regarding provider enrollment. Additionally, OMPP conducts onsite weekly meetings to discuss provider enrollment issues, including any quality, timeliness, or policy concerns or updates. In the event of identified deficiencies, OMPP implements a corrective action plan, liquidated damages, or other contractually agreed upon remedy.

Assessment Methods and Frequency for UTILIZATION MANAGEMENT CONTRACTOR
Program Integrity exercises oversight and monitoring of the deliverables stipulated within the FADS contract in order to ensure the contracting entity satisfactorily performs waiver auditing functions under the conditions of its contract. Reporting requirements are determined as agreed upon within the fully executed contract. The FADS Contractor is required to submit recommendations for review based on their data.

During 2011, the State of Indiana formed the Benefit Integrity Team comprised of both state and contract staff. This team meets bi-weekly to review and approve audit plans and provider communications, and to make policy recommendations to affected program areas. FSSA Compliance oversees the contractor’s aggregate data to identify common problems, determine benchmarks, and offer data to providers to compare against aggregate data.

Final review and approval of all audits and audit-related functions falls to FSSA PI. The direction of the FADS process is a fluid process, allowing for modification and adjustment in an on-going basis to ensure appropriate focus.

Assessment Methods and Frequency for QUALITY ASSURANCE/QUALITY IMPROVEMENT CONTRACTOR
The majority of primary functions of BDS are completed by a Quality Assurance/Quality Improvement (QA/QI) contractor. Specifically, the QA/QI contractor is responsible for incident review, mortality review, complaint investigation, quality on-site provider reviews, and provider training and technical assistance.

A BDS executive staff position monitors this contract using a combination of compliance and quality assurance methods to ensure that contractors perform waiver operational and administrative functions in accordance with waiver requirements.

• A BDS executive staff member meets with the QA/QI contractor’s leadership on a bi-weekly basis to review and follow up on outstanding issues.

• BDS staff has weekly phone conferences with the QA/QI contractor’s mortality review staff and complaint staff to review and follow-up on specific cases and issues.

• On a quarterly basis the QA/QI contractor submits a report that includes data, data analysis, identification of trends, and recommendations for improvement on each of the contract activities. The report also contains performance indicators regarding the contract activities. BDS executive staff reviews these reports and follows up with the contractor when concerns are identified.

Ultimately, the goal of the BDS is to assure that the state is aware of and has taken appropriate actions to ensure the participant’s health, safety, and welfare. BDS executive staff oversees the QA/QI contractor’s interactions with others, as well as monitors that the contractor implements assigned tasks.

Assessment Methods and Frequency for ACTUARIAL CONTRACTOR
OMPP is responsible for monitoring the performance of the Actuarial Contractor. The contractor performs Medicaid enrollment and expenditure forecasts, by program, which aids in monitoring expenses and supports state budgeting. Forecasting is done on both a paid basis and service incurred basis. Trends are determined and vary by population as appropriate. Trends are developed taking into account historical Indiana Medicaid trends, State and National trends, trends used by the CMS Office of the Actuary, and future program changes. Final documentation from the actuarial contractor includes an executive summary, detailed results, sources of data, methodologies, and assumptions. On an

ongoing basis, OMPP ensures the contractor complies with all requirements, deliverables, and timelines as outlined in its contract. In the event of contract non-compliance or performance deficiency, corrective action is pursued in accordance with contract terms.

The actuarial contractor is also under contract to develop and assess rate methodology for HCBS. Rate methodology for waiver services is assessed and reviewed every five years at renewal. The actuarial contractor completes the cost surveys and calculates rate adjustments. The OMPP reviews and approves the fee schedule to ensure consistency, efficiency, economy, quality of care, and sufficient access to providers for waiver services.

The Actuarial Contractor contract, is not a performance-based contract.

Assessment Methods and Frequency for NCI SURVEY CONTRACTOR
BDS exercises oversight and monitoring of the deliverables stipulated within the NCI Survey contract. A BDS executive staff member meets with the NCI Survey contractor's leadership on a monthly basis to review progress and address issues or concerns. On a quarterly basis the contractor submits a report that includes data and data analysis specific to the waiver performance measures. On an annual basis, the contractor submits a comparative analysis report which identifies trends and recommendations for systemic improvement. BDS executive staff reviews these reports and follows up with the contractor when concerns are identified.

Appendix A: Waiver Administration and Operation

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

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

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

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

a. Methods for Discovery: Administrative Authority

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

i. Performance Measures

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

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

Where possible, include numerator/denominator.

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

Performance Measure:
A.1 Number and percent of waiver policies developed by DDRS that were approved by OMPP prior to implementation. Numerator: Number of waiver policies developed by DDRS that were approved by OMPP prior to implementation. Denominator: Total number of waiver policies implemented.

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

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
A.2 Number and percent of quarterly waiver performance measure data reports submitted to the OMPP by DDRS within the required time period. Numerator: Number of quarterly waiver performance measure data reports submitted within the required time period. Denominator: Total number of quarterly waiver performance measure data reports due.

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

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☒ **State Medicaid**	☐ **Weekly**	☒ **100% Review**

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

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

Performance Measure:
A.3 Number and percent of providers assigned a Medicaid provider number according to the required timeframe specified in the contract with the fiscal agent. Numerator: Number of providers assigned a Medicaid provider number by the fiscal agent according to the required timeframe specified in the contract. Denominator: Total number of providers assigned a Medicaid provider number.

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: Fiscal agent	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

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

FSSA meets at least monthly to review and aggregate data, respond to questions, identify areas of concern, and resolve issues to ensure the successful implementation of the waiver program. FSSA divisions also participate in all conference calls with CMS pertaining to the waiver.

FSSA's divisions work to ensure that problems are addressed and corrected. FSSA's divisions participate in the data aggregation and analysis of individual performance measures throughout the waiver application. Between scheduled meetings, problems are regularly addressed through written and/or verbal communications to ensure timely remediation. FSSA discusses the circumstances surrounding an issue or event and what remediation actions should be taken.

In some cases, informal actions, such as obtaining an explanation of the circumstances surrounding the event, or verification that remediation actions have been taken, may be sufficient to deem the problem resolved. In other situations, more formal actions may be taken. This may consist of elevating the issue for a cross-division executive level discussion and remediation.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other**	☐ **Annually**

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
Specify:	
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix B: Participant Access and Eligibility

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

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

Target Group	Included	Target Sub Group	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
☐ **Aged or Disabled, or Both - General**					
	☐	**Aged**			☐
	☐	**Disabled (Physical)**			
	☐	**Disabled (Other)**			
☐ **Aged or Disabled, or Both - Specific Recognized Subgroups**					
	☐	**Brain Injury**			☐
	☐	**HIV/AIDS**			☐
	☐	**Medically Fragile**			☐
	☐	**Technology Dependent**			☐
☒ **Intellectual Disability or Developmental Disability, or Both**					
	☒	**Autism**	0		☒
	☒	**Developmental Disability**	0		☒

Target Group	Included	Target Sub Group	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
	☒	Intellectual Disability	0		☒
☐ Mental Illness					
	☐	Mental Illness			☐
	☐	Serious Emotional Disturbance			

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

In regard to specific State policies concerning the reasonable indication of the need for waiver services, as described in Appendix B-1-a of this application, the target groups for this waiver include Individuals with intellectual disability (IID) and/or other developmental disabilities (DD) as defined in Indiana Code [IC 12-7-2-61], such as cerebral palsy, epilepsy, autism, or other conditions closely related to intellectual disability.

The “other condition” (other than a sole diagnosis of mental illness) may be considered closely related to intellectual disability because that condition results in similar impairment of general intellectual functioning or adaptive behavior or requires treatment or services similar to those required for a person with an intellectual disability. The IID, DD, or other related condition must have an onset prior to age 22 to be expected to continue. Per Indiana Code, the IID, DD, or related condition must also result in substantial functional limitations in at least three (3) of the following areas of major life activities:
1. Self-care;
2. Understanding and use of language;
3. Learning;
4. Mobility;
5. Self-direction;
6. Capacity for independent living; and/or
7. Economic self-sufficiency.

These criteria are considered along with use of a level of care assessment tool and an array of collateral materials when determining eligibility for waiver services.

Only individuals who are determined to require the institutional level of care specified for admission to an Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) may be enrolled in the CIH waiver.

Eligibility requirements are found within the Family and Social Services Administration’s (FSSA’s) Bureau of Disabilities Services (BDS) policy governing eligibility determination, Eligibility and ICF/DD Level of Care Determination for Developmental Disability Services.

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

◉ **Not applicable. There is no maximum age limit**

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

  - ( ) **A level higher than 100% of the institutional average.**

    Specify the percentage:

  - ( ) **Other**

    Specify:

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

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

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

  - ( ) **The following dollar amount:**

    Specify dollar amount:

    The dollar amount *(select one)*

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

      Specify the formula:

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

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

Specify percent:

○ **Other:**

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

☐ **The participant is referred to another waiver that can accommodate the individual's needs.**

☐ **Additional services in excess of the individual cost limit may be authorized.**

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

☐ **Other safeguard(s)**

Specify:

Appendix B: Participant Access and Eligibility

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

a. Unduplicated Number of Participants. The following table specifies the maximum number of unduplicated participants who are served in each year that the waiver is in effect. The state will submit a waiver amendment to CMS to modify the

number of participants specified for any year(s), including when a modification is necessary due to legislative appropriation or another reason. The number of unduplicated participants specified in this table is basis for the cost-neutrality calculations in Appendix J:

Table: B-3-a

Waiver Year	Unduplicated Number of Participants
Year 1	9438
Year 2	9451
Year 3	9475
Year 4	9499
Year 5	9523

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

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

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

Table: B-3-b

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

Appendix B: Participant Access and Eligibility

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

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

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

Purpose(s) the state reserves capacity for:

Purposes
Purpose 3: Emergency placement
Purpose 1: Eligible individuals transitioning to the community from NF, ESN, and State Psychiatric

Purposes
Hospital (SPH)
Purpose 6: Eligible individuals aging out of DOE, DCS, or Children's SGL
Purpose 5: Eligible individuals determined to no longer need/receive active treatment in a group home
Purpose 4: Eligible individuals choosing to leave ICFs/IID
Purpose 2: Eligible individuals transitioning from 100% state-funded services

Appendix B: Participant Access and Eligibility

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

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

Purpose 3: Emergency placement

Purpose *(describe):*

To prioritize waiver access to eligible individuals with intellectual disabilities and require an emergency placement under the reserved waiver capacity criteria associated with one or more of the following situations:

1.Death of a primary caregiver where alternative placement in a supervised group living setting is not available or is determined by the division director of the Division of Disability and Rehabilitative Services to be an inappropriate option;
2.A situation in which the primary caregiver is at least eighty (80) years of age and alternate placement in a supervised group living setting is not available or is determined by the division director of the Division of Disability and Rehabilitative Services to be an inappropriate option;
3.There is evidence of abuse or neglect in the current institutional or home placement, and alternate placement in a supervised group living setting is not available or is determined by the division director of the Division of Disability and Rehabilitative Services to be an inappropriate option; and/or
4.There are other health and safety risks, as determined by the division director of the Division of Disability and Rehabilitative Services, and alternate placement in a supervised group living setting is not available or is determined by the division director of the Division of Disability and Rehabilitative Services to be an inappropriate option.

This reserved waiver capacity category was implemented in 2011 in accordance with Indiana Public Law 229-2011, Sec. 278.

Describe how the amount of reserved capacity was determined:

The first emergency placement situation listed above is applicable to instances where the primary caregiver of the qualifying individual passes away and the individual is in need of immediate care that cannot be provided in any other manner. Reserved capacity in this area was calculated by reviewing the number of individuals who were granted entrance to the waiver via this category from January 2015 through December 2018. Based on demographic trends seen in the age and health of primary caregivers across the State, Indiana expects to see a 5% growth trend in this, and other, emergency placement situations during subsequent years of the renewal.

Situation two is applicable to instances where a qualifying individual's primary caregiver is 80 years old, or older, can no longer care for the individual in question and the individual is in need of immediate care that cannot be provided in any other manner. Reserved capacity in this area was calculated by reviewing the number of individuals who were granted entrance to the waiver via this category from January 2015 through December 2018. Based on demographic trends seen in the age and health of primary caregivers across the State, Indiana expects to see a 5% growth trend in this, and other, emergency placement situation during subsequent years of the renewal.

The third situation is applicable to instances where there is substantiated abuse or neglect of the qualifying individual and that individual is in need of immediate care that cannot be provided in any other manner. Reserved capacity in this area was calculated by reviewing the number of individuals who were granted entrance to the waiver via this category from January 2015 through December 2018.

The fourth, and last, emergency placement situation is applicable to those qualifying individuals whose health and safety are

at substantial risk and the individual is in need of immediate care that cannot be provided in any other manner. Entrance to the waiver via this category is granted at the discretion of the division director of the Division of Disability and Rehabilitative Services. Reserved capacity in this area was calculated by reviewing the number of individuals who were granted entrance to the waiver via this category from January 2013 thru May 2014. Based on trend analysis, it is expected that Indiana will grant 226 emergency placements for this situation during Waiver Year 1 of this renewal. Also from the data, it is reasonable to expect a 5% increase in each subsequent waiver year.

Priority access by Reserved Waiver Capacity is made available as long as available waiver capacity exists for the current waiver year.

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

Waiver Year	Capacity Reserved
Year 1	250
Year 2	250
Year 3	250
Year 4	250
Year 5	250

Appendix B: Participant Access and Eligibility

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

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

Purpose 1: Eligible individuals transitioning to the community from NF, ESN, and State Psychiatric Hospital (SPH)

Purpose *(describe):*

To prioritize waiver access to eligible individuals with intellectual disabilities and who are transitioning to the community from Nursing Facilities (NF), Extensive Support Needs Homes (ESN), or SPH. This reserved waiver capacity category was implemented in accordance with Indiana Public Law 73-2008. The law directed FSSA's Office of Medicaid Policy and Planning (OMPP) and Bureau of Disabilities Services (BDS) to amend the waiver in order that individuals specified in the law be given priority in receiving services under the waiver.

Priority access by Reserved Waiver Capacity is made available as long as available waiver capacity exists for the current waiver year.

Describe how the amount of reserved capacity was determined:

FSSA's Division of Disability and Rehabilitative Services (DDRS) serves an average of 1400 individuals with intellectual disabilities in nursing facility (NF) settings in any given month. Approximately 2% of those persons elect to leave the nursing facility and enter into waiver services over the course of the waiver year. Reserved capacity for Waiver Years 1 – 5 is based on this historic trend and on the number of placements made from January 2015 through December 2018.

One of the goals for many individuals served by DDRS in Extensive Support Needs (ESN) settings is to move into integrated community settings through waiver services. ESN homes are a method to assist individuals to learn to live in small group settings with others. Once they are ready to leave the ESN home it is often their choice to move into a home of their own in the community. Reserved capacity was determined by a review of individuals currently in ESN homes, their time in that service and data on the amount of time an individual generally spends in this setting. Additionally, a review of the number of placements made in from January 2015 through December 2018 was taken into account.

Currently there are 20 individuals in State Psychiatric Hospitals (SPHs), as identified by the Division of Mental Health and Addiction (DMHA), who qualify for services through DDRS. However, as these individuals exit the SPH it is unlikely that many of them will initially participate in community based waiver services.

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

Waiver Year	Capacity Reserved
Year 1	60
Year 2	60
Year 3	60
Year 4	60
Year 5	60

Appendix B: Participant Access and Eligibility

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

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

Purpose 6: Eligible individuals aging out of DOE, DCS, or Children's SGL

Purpose *(describe):*

To prioritize waiver access to eligible individuals with autism, developmental disabilities, intellectual disabilities, or other conditions closely related to intellectual disability as specified in the Appendix B-1-a Target Groups and B-1-b Additional Criteria of the application who will be attaining the maximum age for any of the following settings funded by the Indiana department of education (facility, residential); the Indiana department of child services (foster care, facility, residential, group home), or Indiana Medicaid (Supervised Group Living).

This reserved waiver capacity category was implemented in accordance with Indiana Public Law 73-2008. The law directed OMPP and BDS to amend the waiver in order that individuals specified in the law be given priority in receiving services under the waiver.

Priority access by Reserved Waiver Capacity is made available as long as available waiver capacity exists for the current waiver year.

Describe how the amount of reserved capacity was determined:

A review of the number of participants who entered into waiver services via this category from January 2015 through December 2018 was taken into account to determine the reserved capacity.

FSSA's DDRS and the Department of Child Services (DCS) have developed a strong partnership working toward placement of individuals with autism, developmental disabilities, intellectual disabilities, or other conditions closely related to intellectual disability as specified in the Appendix B-1-a Target Groups and B-1-b Additional Criteria of the application into home and community based waiver settings when they age out of the foster care system. As this partnership has developed FSSA has made it a priority to serve these individuals. A review of the number of participants who entered into waiver services via this category from January 2015 through December 2018 was taken into account to determine the reserved capacity. Indiana's FSSA continues to stand by its prior decision and will not increase the number of licensed ICF/IID beds in its Supervised Group Living (SGL) settings, including the number of beds that may be occupied by children. Given this, data regarding the number of participants who entered into waiver services via this category from January 2015 through December 2018 was utilized to determine the reserved capacity.

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

Waiver Year	Capacity Reserved
Year 1	20
Year 2	20
Year 3	20

Waiver Year	Capacity Reserved
Year 4	20
Year 5	20

Appendix B: Participant Access and Eligibility

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

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

Purpose 5: Eligible individuals determined to no longer need/receive active treatment in a group home

Purpose *(describe):*

To prioritize waiver access to eligible individuals with intellectual disabilities and have been determined by the state department of health to no longer need or receive active treatment provided in a supervised group living setting.

This reserved waiver capacity category was implemented in accordance with Indiana Public Law 73-2008. The law directed OMPP and BDS to amend the waiver in order that individuals specified in the law be given priority in receiving services under the waiver.

Priority access by Reserved Waiver Capacity is made available as long as available waiver capacity exists for the current waiver year.

Describe how the amount of reserved capacity was determined:

Historically, less than .5% of Supervised Group Living (SGL) residents required a reserved capacity priority slot under the CIH waiver due to being identified by the Indiana Department of Health (IDOH) as no longer being in need of active treatment/inappropriate placement. That historic trend has changed very little. Indiana reviewed utilization of this category from January 2015 through December 2018 and determined that the number of individuals entering into waiver services via this reserved capacity category would remain consistent.

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

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

Appendix B: Participant Access and Eligibility

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

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

Purpose 4: Eligible individuals choosing to leave ICFs/IID

Purpose *(describe):*

To prioritize waiver access to eligible individuals choosing to leave Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICFs/IID) to transition into the community. At any time, an eligible individual with an intellectual and/or developmental disability may request to leave the facility/institution in which he/she currently resides in order to

receive CIH waiver funded services. Requests to transition to CIH waiver services may be made by the current resident of a licensed Supervised Group Living (SGL) setting, by the current resident of a Comprehensive Rehabilitative Management Needs Facility (CRMNF), or by the legal guardian of an eligible individual residing in any of these service settings. Additionally, for eligible individuals residing in any ICF/IID facility/institution that announces its closing, the options presented to those individuals will include the option of entering into CIH waiver services via this Reserved Waiver Capacity category.

Eligible individuals transitioning to the community from other types of facilities and institutions – Nursing Facilities, Extensive Support Need Supervised Group Living homes and State Psychiatric Hospitals – will continue to enter into CIH waiver services through the pre-existing "Eligible individuals transitioning to the community from NF, ESN and SPH" Reserved Waiver Capacity category.

Priority access by Reserved Waiver Capacity is made available as long as available waiver capacity exists for the current waiver year.

Describe how the amount of reserved capacity was determined:

In order to determine needed capacity for this category, Indiana reviewed the number of individuals who choose to leave SGL's and entered into waiver services via this reserved capacity category from January 2015 through December 2018. Indiana is projecting increases in the number of individuals requesting to utilize this priority category over the next five years due to new initiatives to modernize the way Indiana provides residential supports to individuals.

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

Waiver Year	Capacity Reserved
Year 1	325
Year 2	325
Year 3	325
Year 4	325
Year 5	325

Appendix B: Participant Access and Eligibility

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

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

Purpose 2: Eligible individuals transitioning from 100% state-funded services

Purpose *(describe):*

To prioritize waiver access to eligible individuals with intellectual disabilities who are transitioning from 100% state-funded budgets onto the Community Integration and Habilitation (CIH) waiver.

This reserved waiver capacity category was implemented in accordance with Indiana Public Law 73-2008. The law directed OMPP and BDS to amend the waiver in order that individuals specified in the law be given priority in receiving services under the waiver.

Priority access by Reserved Waiver Capacity is made available as long as available waiver capacity exists for the current waiver year.

Describe how the amount of reserved capacity was determined:

The majority of individuals receiving services through 100% State funded services do not qualify for Medicaid under current Indiana eligibility standards. This being the case, reserved waiver capacity for Waiver Years 1 – 5 is based on the number of individuals who entered into waiver services via this category from January 2015 through December 2018.

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

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

Appendix B: Participant Access and Eligibility

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

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

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

e. Allocation of Waiver Capacity.

Select one:

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

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

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

Entrance to the CIH waiver occurs via the reserved capacity (priority) criteria noted in Appendix B-3-c.

FSSA's DDRS uses to a single statewide wait list for waiver services in which applicants move on a first come, first served basis onto the Family Supports Waiver (FSW) (also operated by DDRS), or where capacity exists, enter into waiver services under the CIH waiver on the basis of need and meeting the criterion of a Reserved Waiver Capacity category found under Appendix B-3-c.

Participants receiving services under FSW have the potential for movement to the CIH waiver when an identified need exists and they are found to meet criteria for any of the existing Reserved Waiver Capacity priority categories noted in Appendix B-3 c. When such an opportunity arises and an available capacity for movement exists, the participant who meets criteria for movement will be notified. The Case Manager is expected to inform the participant of the array of services available under the CIH waiver so that informed choice can be made. Interested participants will be assessed to determine the budget amount assigned through the objective based allocation process should the participant chose to accept the opportunity for movement. However, if the participant and his or her Individualized Support Team determine that services under FSW are adequate to meet the needs of the participant, the participant and his or her guardian, if applicable, may opt to remain on FSW.

Appendix B: Participant Access and Eligibility

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

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

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

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

- (●) **Section 1634 State**
- ( ) **SSI Criteria State**
- ( ) **209(b) State**

2. Miller Trust State.

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

- ( ) **No**
- (●) **Yes**

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

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

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

Select one:

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

Specify percentage: [ ]

☐ **Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII)) of the Act)**

☒ **Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)**

☒ **Working individuals with disabilities who buy into Medicaid (TWWIIA Medical Improvement Coverage Group as provided in §1902(a)(10)(A)(ii)(XVI) of the Act)**

☐ **Disabled individuals age 18 or younger who would require an institutional level of care (TEFRA 134 eligibility group as provided in §1902(e)(3) of the Act)**

☐ **Medically needy in 209(b) States (42 CFR §435.330)**

☐ **Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)**

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

Specify:

42 CFR 435.110 Parents and other caretaker relatives

42 CFR 435.118 Infants and children under age 19

42 CFR 435.145 Children for whom adoption assistance or foster care maintenance payments are made (under title IV-E of the Act)

42 CFR 435.150 Former Foster Care Children;

42 CFR 435.226 Independent Foster Care Adolescents;

42 CFR 435.227 Individuals under age 21 who are under State adoption assistance agreements

Sec 1925 of the Act --Transitional Medical Assistance

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

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

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

Select one and complete Appendix B-5.

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

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

Check each that applies:

☒ **A special income level equal to:**

Select one:

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

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

Specify percentage: ☐

○ **A dollar amount which is lower than 300%.**

Specify dollar amount:

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

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

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

☐ **Aged and disabled individuals who have income at:**

Select one:

○ **100% of FPL**

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

Specify percentage amount:

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

☒ **Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group. In the case of a participant with a community spouse, the state uses *spousal* post-eligibility rules under §1924 of the Act.**
Complete Items B-5-e (if the selection for B-4-a-i is SSI State or §1634) or B-5-f (if the selection for B-4-a-i is 209b State) and Item B-5-g unless the state indicates that it also uses spousal post-eligibility rules for the time periods before January 1, 2014 or after September 30, 2019 (or other date as required by law).

Note: The following selections apply for the time periods before January 1, 2014 or after September 30, 2019 (or other date as required by law) (select one).

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

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

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

○ **Use regular post-eligibility rules under 42 CFR § 435.726 (Section 1634 State/SSI Criteria State) or under**

§ 435.735 (209b State)
(Complete Item B-5-b (SSI State). Do not complete Item B-5-d)

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

Appendix B: Participant Access and Eligibility

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

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

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

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

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

◉ **The following standard included under the state plan**

Select one:

○ **SSI standard**
○ **Optional state supplement standard**
○ **Medically needy income standard**
◉ **The special income level for institutionalized persons**

(*select one*):

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

Specify the percentage:

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

Specify dollar amount:

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

Specify percentage:

○ **Other standard included under the state plan**

Specify:

○ **The following dollar amount**

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

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

Specify:

○ **Other**

Specify:

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

◉ **Not Applicable**

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

Specify:

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

○ **SSI standard**

○ **Optional state supplement standard**

○ **Medically needy income standard**

○ **The following dollar amount:**

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

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

Specify:

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

○ **Not Applicable (see instructions)**

◉ **AFDC need standard**

○ **Medically needy income standard**

○ **The following dollar amount:**

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

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

Specify:

○ **Other**

Specify:

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

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

Select one:

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

i. Allowance for the personal needs of the waiver participant

(*select one*):

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

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

  Specify dollar amount: If this amount changes, this item will be revised
- ○ **The following formula is used to determine the needs allowance:**

  Specify formula:
- ○ **Other**

  Specify:

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

Select one:

- ◉ **Allowance is the same**
- ○ **Allowance is different.**

  Explanation of difference:

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

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

Select one:

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

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

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

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

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

i. Minimum number of services.

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

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

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

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

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

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

  Specify the entity:

- ( ) **Other**
  Specify:

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

Only individuals (FSSA employees) who are Qualified Intellectual Disabilities Professionals (QIDP) as specified by the standard within 42 CFR 483.430(a) may perform the initial Level of Care determinations.

A QIDP professional:
(1) Has at least one year of experience working directly with persons with intellectual disability or other developmental disabilities; and
(2) Is one of the following:
- A doctor of medicine or osteopathy.
- A registered nurse.
- An individual who holds at least a bachelor's degree in a professional program services category.

For professional program services:
(1) Professional program staff must be licensed, certified, or registered, as applicable, to provide professional services by the State in which he or she practices. Those professional program staff who do not fall under the jurisdiction of State licensure, certification, or registration requirements, specified in § 483.410(b), must meet the following qualifications:
(i) To be designated as an occupational therapist, an individual must be eligible for certification as an occupational therapist by the American Occupational Therapy Association or another comparable body.
(ii) To be designated as an occupational therapy assistant, an individual must be eligible for certification as a certified occupational therapy assistant by the American Occupational Therapy Association or another comparable body.
(iii) To be designated as a physical therapist, an individual must be eligible for certification as a physical therapist by the American Physical Therapy Association or another comparable body.
(iv) To be designated as a physical therapy assistant, an individual must be eligible for registration by the American Physical Therapy Association or be a graduate of a two year college-level program approved by the American Physical Therapy Association or another comparable body.
(v) To be designated as a psychologist, an individual must have at least a master's degree in psychology from an accredited school.
(vi) To be designated as a social worker, an individual must—
(A) Hold a graduate degree from a school of social work accredited or approved by the Council on Social Work Education or another comparable body; or
(B) Hold a Bachelor of Social Work degree from a college or university accredited or approved by the Council on Social Work Education or another comparable body.
(vii) To be designated as a speech-language pathologist or audiologist, an individual must—
(A) Be eligible for a Certificate of Clinical Competence in Speech-Language Pathology or Audiology granted by the American Speech-Language-Hearing Association or another comparable body; or
(B) Meet the educational requirements for certification and be in the process of accumulating the supervised experience required for certification.
(viii) To be designated as a professional recreation staff member, an individual must have a bachelor's degree in recreation or in a specialty area such as art, dance, music or physical education.
(ix) To be designated as a professional dietitian, an individual must be eligible for registration by the American Dietetics Association.
(x) To be designated as a human services professional an individual must have at least a bachelor's degree in a human services field (including, but not limited to: sociology, special education, rehabilitation counseling, and psychology).

d. Level of Care Criteria. Fully specify the level of care criteria that are used to evaluate and reevaluate whether an individual needs services through the waiver and that serve as the basis of the state's level of care instrument/tool. Specify the level of care instrument/tool that is employed. State laws, regulations, and policies concerning level of care criteria and the level of care instrument/tool are available to CMS upon request through the Medicaid agency or the operating agency (if applicable), including the instrument/tool utilized.

To complete a waiver level of care determination, the FSSA employee/BDS service coordinator (initial evaluations and re-evaluations) or the provider of Case Management (re-evaluations) obtains and reviews the following:
1) Psychological records;
2) Social assessment records;
3) Medical records;
4) Additional records necessary to have a current and valid reflection of the individual; and
5) A completed 450B Confirmation of Diagnosis form, signed and dated by a physician within the past year for the initial determination only.

If collateral records are not available or are not a valid reflection of the individual, additional assessments may be obtained from contracted psychologists, physicians, nurses and licensed social workers.

The FSSA employee/BDS service coordinator (initial evaluations and re-evaluations) or the provider of case management (re-evaluations) reviews the LOC Screening Instrument and collateral material, applicable to individuals with intellectual disability, developmental disability and other related conditions, in order to ascertain if the individual meets ICF/IID LOC.

An applicant/participant must meet each of four basic conditions (listed below) and three of six substantial functional limitations in order to meet LOC.

The basic conditions are:
1) an impairment/confirmed diagnosis of intellectual disability, cerebral palsy, epilepsy, autism, or condition similar to intellectual disability,
2) the impairment/basic condition identified is expected to continue without a foreseeable end,
3) the impairment/basic condition identified had an onset prior to age 22,
4) the impairment/basic condition results in at least three of six substantial functional limitations.

The substantial functional limitation categories, as defined in 42 CFR 435.1010, are:
1) self-care,
2) learning,
3) self-direction,
4) capacity for independent living,
5) understanding and use of language, and
6) mobility.

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

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

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

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

With one exception, the process for reevaluation of level of care is the same as the initial evaluation described in Appendix B-6-d, but may be performed by either an FSSA employees/BDS service coordinator or a provider of case management. When re-evaluations are performed by the provider of case management, then recommendations are routed to designated FSSA staff members for subsequent approval or denial.

The exception is that there is no requirement to obtain another 450B Confirmation of Diagnosis form at the time of reevaluation.

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

- ○ **Every three months**
- ○ **Every six months**
- ○ **Every twelve months**
- ◉ **Other schedule**

Specify the other schedule:

Level of care reevaluations are required for each participant at least every twelve months. Level of care reevaluations will also be completed when there is significant change in the participant's health or circumstances.

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

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

Specify the qualifications:

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

The State’s electronic case management data system allows case managers to generate reports indicating the due dates for Level of Care (LOC) redeterminations for each participant. Case management agencies may also utilize their own internal data systems to monitor and track the timeliness of LOC determinations by the case managers they employ. In addition, the State’s data system prevents completion of the Person Centered Individualized Support Plan (PCISP) when a LOC redetermination has not been completed within the required time frames.

Note that the State’s electronic case management data system is also programmed so that it does not permit the State’s approval of a service plan (described in Appendix D) for which the level of care determination or redetermination has not been made within the past 12 months.

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

Records are maintained by the Bureau of Disabilities Services (BDS) within the State’s electronic case management system and are retrievable indefinitely upon request.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:
B.1 The number and percent of all applicants who received a Level of Care (LOC) evaluation prior to waiver enrollment. Numerator: Number of all applicants who received LOC evaluation prior to waiver enrollment. Denominator: Total number of all applicants.

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

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

Performance Measures

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

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the

method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

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

Performance Measures

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

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

Performance Measure:
B.2 Number and percent of individuals whose initial levels of care assessment was completed in accordance with established LOC criteria. Numerator: Number of individuals whose initial level of care assessment was completed in accordance with established LOC criteria. Denominator: Total number of individuals with an initial level of care assessment.

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

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
B.3 Number and percent of individuals whose annual level of care (LOC) assessment was conducted based on requirements for determining level of care in the waiver. Numerator: Number of individuals whose annual LOC assessment was conducted based on requirements for determining level of care in the waiver. Denominator: Total number of individuals due for an annual LOC assessment.

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

Responsible Party for	**Frequency of data**	**Sampling Approach**

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

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

Performance measures B.1 through B.3: The report is manually generated for each review period to ensure all new enrollees had a LOC evaluation completed by the State prior to waiver enrollment. Should it be discovered that any enrollee entered into waiver services without the required LOC determination, the DDRS Central Office will remediate by determining where the process/system failure occurred, retrain and if necessary, discipline staff and/or update the electronic system that is intentionally designed to prohibit approval and entrance of new enrollees until LOC has been appropriately determined. Should violations occur, notice will be issued requiring completion of the initial LOC within seven calendar days and any deficiencies would be documented within the case notes pertaining to the enrollee.

Problems with LOC timeliness and any resulting CAPs are reported to OMPP and reviewed in the periodic management meetings.

The State’s case management system requires a secondary review of all LOC determinations. If the secondary review of an initial or annual LOC would result in a denial, meaning that potential participant or current participant would not meet the requirements to enroll in or remain on the waiver, the information is submitted to BDS central office for a tertiary review. When a tertiary review proves that the potential participant or current participant does in fact meet the LOC requirements, the outcome of the tertiary review determines any need for remediation steps. The system is set up so that if there is a “no” on any item reviewed, a corrective action is required as well as identification of the responsible party.
Once the case review is complete, if there are corrective actions noted, an electronic notification is sent to the responsible party with the corrective action needing resolved as well as a target date for completion. Thirty calendar days is the standard time frame for completion. A corrective action plan alerts the case manager of specific issues identified as well as a target date for action.

Patterns of inappropriate decisions by FSSA employees/service coordinator or case managers will be identified and addressed with the determiner’s supervisor. If the data shows a system issue resulting in inappropriate decisions, the matter will be referred to the BDS executive staff to identify, address, and monitor the training provided to service coordinators and case managers.

Once the action has been resolved, the responsible party notifies the case reviewer via e-mail. The case reviewer then goes into the system to verify completion. Once verified by the case reviewer, verify completion is checked and the case is closed.

Data is transferred on a weekly basis. There is a ‘Hotlist” that shows the status of each case review. Corrective actions that

are past the 30 day time frame are listed. The case reviewer, the district manager, as well as the field service directors have access to the hotlist for review purposes.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

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

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

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

Following a determination that the applicant meets the eligibility requirements for entrance into the CIH waiver, a BDDS service coordinator becomes responsible for informing the applicant and/or his or her legal representative, if applicable, of the feasible alternatives available under the waiver and given the choice of waiver services or ICF/IID services.

The service coordinator is responsible for obtaining the BDS signature page form with the “Freedom of Choice” section completed and uploading the form into the State’s case management system.

The signed form reflects the individual/participant/guardian’s choice between waiver services and nonwaiver/institutionally based services.

If a potential HCBS waiver participant is currently enrolled in the Hoosier Care Connect program (the state’s Risk-Based Managed Care program) or if a current HCBS waiver participant wants to transfer to the Hoosier Care Connect program (if eligible), the service coordinator or case manager is responsible for explaining eligibility under 42 CFR 435.217 (Medicaid eligible if receiving home and community-based waiver services) and the impact the selection of the Hoosier Care Connect program could have on the individual’s eligibility. They also explain the array of services available under the HCBS waiver program and under the Hoosier Care Connect program. In Indiana, the Hoosier Care Connect program and HCBS waiver programs are mutually exclusive.

A PCISP is used for individuals who choose waiver services. Once a qualifying individual is offered a waiver slot, is Medicaid eligible, and has met level of care approval, a PCISP is developed. The PCISP is used for waiver participants at the time of initial determinations, updates, and annual re-determinations. Freedom of choice is demonstrated on the BDS signature page form. The waiver participant/guardian signs and dates this signature page form indicating his/her choice of waiver services or institutional services. The case manager is responsible for explaining the array of services available in an institutional setting as well as the feasible alternatives available through the CIH waiver program.

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

The initial signed and dated Freedom of Choice form is maintained within the State’s electronic case management system for a minimum of three years.

At least annually, freedom of choice between waiver and institutional services is uploaded into the State’s case management system.

Appendix B: Participant Access and Eligibility

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

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

As an integral part of the FSSA, the DDRS Bureau of Deaf and Hard of Hearing Services serves as a resource for interpreter services to the deaf and hard of hearing. As needed, DDRS is able to assist with referrals for sign language interpreters toward the effective communication with applicants or participants, when interpreter services are not already included on the service plan of the participant.

Staff members of DDRS sometimes utilize locally available interpreters associated with community or neighborhood organizations and church groups for interpretation of non-English languages. Some metropolitan communities within Indiana offer access to interpreters of varying languages through local colleges, universities or libraries.

The State of Indiana offers a variety of links for potential translation opportunities at https://www.in.gov/health/minority-health/minority-health-resources/language-translation-and-migrant-programs/, a webpage titled Language, Translation, & Migrant Programs.

As outlined within the Person-Centered Individualized Support Plan (PCISP), providers of services are expected to meet the needs of the participants they serve, inclusive of effectively and efficiently communicating with each participant by whatever means is preferred by the participant. If the participant is a Limited English Proficient (LEP) person, the provider is expected to accommodate those needs during the delivery of any and all services they were chosen to provide.

Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	**Adult Day Services**		
Statutory Service	**Case Management**		
Statutory Service	**Day Habilitation**		
Statutory Service	**Prevocational Services**		
Statutory Service	**Rent and Food for Unrelated Live-in Caregiver**		
Statutory Service	**Residential Habilitation and Support (hourly)**		
Statutory Service	**Respite**		
Extended State Plan Service	**Occupational Therapy**		
Extended State Plan Service	**Physical Therapy**		
Extended State Plan Service	**Psychological Therapy**		
Extended State Plan Service	**Speech /Language Therapy**		
Other Service	**Behavioral Support Services (BSS)**		
Other Service	**Career Exploration and Planning**		
Other Service	**Community Transition**		
Other Service	**Extended Services**		
Other Service	**Facility Based Support Services**		
Other Service	**Family and Caregiver Training**		
Other Service	**Home Modification Assessment**		
Other Service	**Home Modifications**		
Other Service	**Intensive Behavioral Intervention**		
Other Service	**Music Therapy**		
Other Service	**Personal Emergency Response System**		
Other Service	**Recreational Therapy**		
Other Service	**Remote Supports**		
Other Service	**Residential Habilitation and Support - Daily (RHS Daily)**		
Other Service	**Specialized Medical Equipment and Supplies**		
Other Service	**Structured Family Caregiving (previously known as Adult Foster Care)**		

Service Type	Service
Other Service	Transportation
Other Service	Vehicle Modifications
Other Service	Wellness Coordination
Other Service	Workplace Assistance

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Adult Day Health

Alternate Service Title (if any):

Adult Day Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
04 Day Services	04050 adult day health
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Adult day services (ADS) are community-based group programs designed to support participants as specified through the PCISP. These programs encompass both the health and social service needs to ensure the optimal functioning of the participant. Meals and/or nutritious snacks are required. The meals provided as part of these services do not constitute a full nutritional regimen (i.e., three meals per day).

However, each meal must meet 1/3 of the daily Recommended Dietary Allowance. These services must be provided in a non-institutional, community-based setting in one of three available levels of service: basic, enhanced or intensive. Participants attend ADS on a planned basis. A maximum of 12 hours per day shall be allowable.

A 1/2 day unit is defined as one unit of three hours to a maximum of five hours/day. Two units is more than five hours to a maximum of eight hours/day. A maximum of two 1/2 units/day is allowed.

A 1/4 hour unit is defined as 15 minutes. Billable only if fewer than three hours or more than eight hours of ADS have been provided on the same day. A maximum of 16 1/4 hour units/day are allowed.

Reimbursable Activities:

Basic ADS (Level 1) includes:
• Person-centered monitoring and/or support for all activities of daily living (ADLs) defined as dressing, bathing, grooming, eating, walking, and toileting with hands-on assistance provided as needed.
• Comprehensive, therapeutic activities.
• Health assessment and intermittent monitoring of health status.
• Monitoring medication or medication administration.
• Appropriate structure and support for those with mild cognitive impairment.
• Minimum staff ratio: One staff for each eight participants.

Enhanced ADS (Level 2) includes:
• Hands-on assistance with two or more ADLs or hands-on assistance with bathing or other personal care.
• Health assessment with regular monitoring or intervention with health status.
• Dispensing or supervision of the dispensing of medication.
• Psychological needs assessed and addressed, including counseling as needed for participants and caregivers.
• Therapeutic structure, support, and intervention for those with mild to moderate cognitive impairments.
• Minimum staff ratio: One staff for each six participants.

Intensive ADS (Level 3) includes:
Level 1 and Level 2 service requirements must be met. Additional services include:
• Hands-on assistance or supervision with all ADLs and personal care.
• One or more direct health intervention(s) required.
• Rehabilitation and restorative services, including physical therapy, speech therapy, and occupational therapy coordinated or available.
• Therapeutic intervention to address dynamic psychosocial needs such as depression or family issues affecting care.
• Therapeutic interventions for those with moderate to severe cognitive impairments.
• Minimum staff ratio: One staff for each four participants.

ADS may be used in conjunction with transportation services.

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

ADS are allowed for a maximum of 12 hours per calendar day.

ACTIVITIES NOT ALLOWED: Any activity that is not described in allowable activities is not included in this service.
Note: Therapies provided through this service will not duplicate therapies provided under any other service.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Adult Day Service Facilities

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Adult Day Services

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Adult Day Service Facilities

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

- Enrolled as an active Medicaid provider
- Must be FSSA/DDRS-approved
- Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-2 Adult Day Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training;
• 460 IAC 6-34-1 through 460 IAC 34-3 Transportation Services.

-Must comply with any applicable FSSA/BDS service standards, guidelines, policies, and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

- Must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
• The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
• The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
• The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
• The National Committee for Quality Assurance, or its successor.
• The ISO-9001 human services QA system.
• An independent national accreditation organization approved by the secretary.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Case Management

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
01 Case Management	01010 case management
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Case management provides an array of services that assist individuals in gaining access to needed waiver and other Medicaid State plan services, as well as medical, social, educational, and other services, regardless of the funding source for the services or community supports to which access is gained. Case managers advocate alongside the individual to ensure their access and opportunities for participation in all paid and unpaid services, programs, and settings which allow for building social capital, skill development, and personal fulfillment. Case managers leverage their social capital in communities to connect with employers on behalf of individuals seeking competitive, integrated employment.

Case management services includes annual planning and assessment and ongoing case management support.

REIMBURSABLE ACTIVITIES

A. Annual planning and assessment – initial and annual activities outlined by BDS that support the individual in:
1. Establishing a person-centered, strengths based Person Centered Individualized Support Plan (PCISP) that supports the individual's vision of a good life through offering opportunities for integrated supports. The individual must be present and supported to facilitate development of the plan to the greatest extent possible;
2. Developing an annual budget in support of the PCISP; and
3. Determining continued eligibility for services.

B. Focus on Shared Outcomes: Employment
1. Building broader and deeper connections with existing resources and supports, including those outside of disability specific entities or providers.
2. Supporting individuals to explore existing programs including pre-employment, extended services, and

volunteer opportunities.
3. Accessing training opportunities and sharing information individuals need to work and build wealth.

C. Ongoing case management services are based on the principles of person-centered thinking and driven by the PCISP. Person-centered practices include:
1. Convening Individualized Support Team (IST) meetings at least semi-annually. IST meetings may be held in a manner desired by the individual and guardian, if applicable; individual and guardian, if applicable, must be present for all IST meetings
2. Conducting face-to-face contacts with the individual and guardian, if applicable, for the purpose of relationship building and knowledge of individual at least once semi-annually and as needed.
a. At least one visit each year must be held in the home of the waiver individual.
b. For individuals residing in provider owned and/or controlled settings (as defined by CMS and DDRS), case managers must ensure at least one visit each year is unannounced.
c. Face-to-face visits must be intentional interactions and may not be held as drop-in visits at a day program.
d. IST meetings and face-to-face contacts are both required in a manner that ensures interaction at least every 90 days.
3. Regularly reviewing and updating the PCISP including when:
a. The needs or circumstances of the individual have changed;
b. Services are added or changed;
c. At the request of the individual and guardian, if applicable;
d. For nonannual team meetings, to record team discussions on outcomes and any related plan changes.
4. Identifying, assessing, and addressing risks initially and as needed.
5. Updating service plans and timely submission of budget requests consistent with the individual's PCISP.
6. Monitoring service delivery and utilization to ensure that services are being delivered in accordance with the PCISP.
7. Monitoring individuals' health and safety.
8. Assessing individuals' satisfaction and service outcomes and sharing the results with BDS at least annually.
9. Completing and processing the Monitoring Checklist within BDS established timeline.
10. Completing, submitting, and following up on incident reports as established by BDS.
11. Completing case notes and necessary PCISP revisions documenting each encounter with or on behalf of the individual within 7 calendar days at a minimum. Case managers must have at least one documented meaningful encounter monthly to support billing.
12. Disseminating information including the PCISP, all Notices of Action and forms to the individual, guardian, if applicable, and the IST.
13. Maintaining files in accordance with State standards
14. In the absence of a residential provider, conduct mortality reviews in accordance with 460 Indiana Administrative Code 6 and BDS policy and guidance

D. Case management services may be available during the last 180 consecutive days of a Medicaid eligible individual's institutional stay to allow case management activities to be performed specifically related to transitioning the individual from an institutional setting which includes the following: nursing facility, comprehensive rehabilitative management needs facility, state psychiatric facility, ICF/IDD (supervised group living) to DDRS HCBS services.
1. The individual must be approved for Medicaid waiver services and fully transitioned into a DDRS HCBS waiver setting for case management to be billed. If the individual dies during the transition process, billing can still be an option.
2. The need for the transitional service should be clearly documented in the PCISP.
3. Case management services may be available in adherence to specific MFP related activities or requirements for individuals transitioning to the community from an institutional setting.

NOTE: Timeframes related to required activities, service standards and/or responsibilities of the case manager are specified in the DDRS HCBS Waivers module which is located at https://www.in.gov/medicaid/providers/files/modules/ddrs-hcbs-waivers.pdf

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

ACTIVITIES NOT ALLOWED:

A. The case management entity may not own or operate another waiver service agency, nor may the case management entity be an approved provider of any other waiver service or otherwise have a financial investment in any other waiver service.
B. The case management entity may not subcontract with another agency or case manager for the provision of direct case management services.
C. Case managers may not be contractors of the case management entity.

D. Caseload average in excess of 45 across the case management entity's active, full-time case managers who carry caseloads.
E. The case management entity may not bill in a month for solely non-case management related activities or tasks such as mailing greeting cards or holiday text messages, for example
F. Reimbursement is not available through case management services for the following activities or any other activities that do not fall under the previously listed definition:
1.Services delivered to persons who do not meet eligibility requirements established by DDRS/BDS.
2.Counseling services related to legal issues. Such issues shall be directed to the Indiana Disability Rights, the designated Protection and Advocacy agency under the Developmental Disabilities Act and Bill of Rights Act, P.L. 100-146.
3. Case management conducted by a legal guardian or person related through blood or marriage to any degree to the individual.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☐ **Relative**

☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Case Management Agency

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Case Management

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Case Management Agency

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

A. Enrolled as an active Medicaid provider.
B. Must be FSSA/DDRS-approved.
C. Must be eligible to provide case management services in every county.
D. Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
1. 460 IAC 6-10-5 Documentation of Criminal Histories;
2. 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
3. 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
4. IAC 6-19-1 through 460 IAC 6-19-9 Case Management, and
5. 460 IAC 6-5-5 Case Management Services Provider Qualifications.
E. Must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
1. The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.

2. The Council on Quality and Leadership in Support for People with Disabilities, or its successor.
3. The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
4. The ISO-9001 human services QA system.
5. The Council on Accreditation, or its successor.
6. An independent national accreditation organization approved by the secretary.

F. Must develop and enforce a code of ethics aligned with 460 IAC 6-14-7 and BDS policy, practices and guidance.

G. Maintain a sufficient number of Case Managers to provide statewide coverage while maintaining an average caseload size of no more than forty-five (45) cases across full-time Case Managers who actively provide case management services to Individuals receiving waiver services. A full-time Case Manager is defined as a Case Manager with a caseload of at least 21 cases. The State will monitor adherence to this caseload limit on a quarterly basis.

H. Ensure, ongoing, that criminal background checks are conducted for every employee hired or associated with the approved case management entity as stated Indiana Administrative Code, Indiana Code and BDS policy.

Compliance

A. Retain at least one full-time employee to actively monitor and ensure all areas of compliance and quality.
1. Persons in this role may not carry a case load of more than 10 cases.
2. Persons in this role may not do quality and compliance reviews on their own caseload.
3. Persons in this role will monitor and identity any violation of rules, regulations, or established requirements that are discovered and report them to BDS through the incident reporting system as outlined in Indiana Administrative Code, Indiana Code and BDS policy.

B. Have a mechanism for monitoring the quality of services delivered by case managers that aligns with BDS practices; and addressing any quality issues that are discovered and reporting them to BDS.

C. All DDRS-approved case management agencies specifically agree to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq. and 47 U.S.C. 225).

D. Case management entities must:
1. Ensure compliance with any applicable FSSA/DDRS/BDS service standards, guidelines, policies and/or manuals, including policies, written agreements and the DDRS HCBS Waivers Provider Reference Module on the IHCP Provider Reference Modules webpage;
2. Ensure case managers meet with waiver individuals on a regular basis or as requested by the individual to develop, update, and support the execution of person-centered individualized support;
3. Require initially and annually, that each case manager employed by the DDRS-approved case management agency obtain proof of competency demonstrated through successful completion of the DDRS/BDS- case management training curriculum and certification exam;
4. Ensure case managers complete and demonstrate competency of the BDS required training;
5. Ensure case managers complete the required hours of BDS approved, case management entity provided, training;
6. Ensure that case managers are trained in the person-centered planning process aligned with BDS' mission, vision and values, including participation in any BDS person-centered trainings;
7. Ensure case managers shall have the ability to employ whatever tools necessary to effectively and efficiently communicate with each individual by whatever means is preferred by the individual; and
8. Ensure case managers meet with one or more of the following qualification standards:
a. Hold a bachelor's degree in one of the following specialties from an accredited college or university:
i. Social work, Psychology, Sociology, Counseling, Gerontology, Nursing, Special education, Rehabilitation, or related degree if approved by the FSSA/DDRS/OMPP;
ii. Be a registered nurse with one-year experience in human services; or
iii. Hold a bachelor's degree in any field with a minimum of one year full-time, direct experience working with persons with intellectual/developmental disabilities.
b. Holding a master's degree in a related field may substitute for required experience.
c. The case manager must meet the requirements for a qualified intellectual disability professional in 42 CFR 483.430(a).

Technology

A. Case management entities must:
1. Provide and maintain a 24/7 emergency response system that does not rely upon the area 911 system and provides assistance to all waiver individuals. The 24/7 line staff must assist individuals or their families with addressing immediate needs and contact the individual's case manager to ensure arrangements are made to address the immediate situation and to prevent reoccurrences of the situation;
2. Maintain sufficient technological capability to submit required data electronically in a format and through mechanisms specified by the State; and
3. Ensure each case manager is properly equipped with a cell phone, smart phone, or similar device that allows the case manager to be accessible as needed to the individuals he or she serves.

Conflict-Free Case Management
A. Indiana maintains a conflict-free case management policy. This covers conflict of interest in terms of provision of services as well as in relationship to the individual being served. Conflict-free means:
1. Case management agencies may not be an approved provider of any other waiver service;
2. The owners of one case management agency may not own multiple case management agencies;
3. The owners of one case management agency may not be a stakeholder of any other waiver service agency; and
4. There may be no financial relationship between the referring case management agency, its staff, and the provider of other waiver services.
5. Case managers may not be financially influenced in the course of their service delivery
B. In addition, case managers must not be:
1. Related by blood or marriage to the individual;
2. Related by blood or marriage to any paid caregiver of the individual;
3. Financially responsible for the individual; or
4. Authorized to make financial or health-related decisions on behalf of the individual.

Note: Case management services are mandatory for all waiver individuals.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Day Habilitation

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:	Sub-Category 1:
04 Day Services	04020 day habilitation
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**

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

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

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

Service Definition *(Scope):*

Day habilitation (effective 8/1/2020) are services that are specified in the PCISP and support learning and assistance in the areas of: self-care, sensory/motor development, socialization, daily living skills, communication, community living, and social skills. Day habilitation activities are intended to build relationships and natural supports.

Services are provided in a variety of settings in the community or in a facility owned or operated by an FSSA/DDRS-approved provider. Settings are non-residential and separate from a participant's private residence or other residential living arrangements.
Ratio Sizes:
• 1:1 Individual
• 2:1 to 4:1 Small Group
• 5:1 to 10:1 Medium Group
• 11:1 to 16:1 Large Group (applies only to a facility setting)

REIMBURSABLE ACTIVITIES:

Person-centered monitoring, training, education, demonstration, or support to assist the participant with the acquisition and retention of skills in the following areas:
• Leisure activities and community/public events (i.e. integrated camp settings).
• Educational activities.
• Hobbies.
• Unpaid work experiences (i.e. volunteer opportunities).
• Maintaining contact with family and friends.

Training and education in self direction designed to help participants achieve one or more of the following outcomes:
• Develop self-advocacy skills.
• Exercise civil rights.
• Acquire skills that enable the ability to exercise self-control and responsibility over services and supports received or needed.
• Acquire skills that enable the participant to become more independent, integrated or productive in the community.

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

Activities Not Allowed:
• Services that are available under the Rehabilitation Act of 1973 or PL 94-142.
• Skills training for any activity that is not identified as directly related to a participant habilitation outcome.
• Activities that do not foster the acquisition and retention of skills.
• Activities that would typically be a component of a person's residential life or services, such as: shopping, banking, household errands, appointments, etc.
• Services furnished to a minor by parent(s), step parents(s) or legal guardian.
• Services furnished to a participant by the participant's spouse.

Day habilitation services reimbursement does not include reimbursement for the cost of the activities in which the participant is participating when they receive skills training, such as the cost to attend a community event or a camp.

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

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

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS-approved day habilitation service providers, which include community-based habilitation service providers and facility-based habilitation service providers.
Agency	FSSA/DDRS-approved day habilitation service providers, which include community-based habilitation service providers and facility-based habilitation service providers.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Day Habilitation

Provider Category:

Individual

Provider Type:

FSSA/DDRS-approved day habilitation service providers, which include community-based habilitation service providers and facility-based habilitation service providers.

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications, and
460 IAC 6-5-30 Transportation Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The National Committee for Quality Assurance, or its successor.
(5) The ISO-9001 human services QA system.
(6) An independent national accreditation organization approved by the secretary

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Day Habilitation

Provider Category:

Agency

Provider Type:

FSSA/DDRS-approved day habilitation service providers, which include community-based habilitation service providers and facility-based habilitation service providers.

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications, and
460 IAC 6-5-30 Transportation Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The National Committee for Quality Assurance, or its successor.
(5) The ISO-9001 human services QA system.
(6) An independent national accreditation organization approved by the secretary

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Prevocational Services

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:	Sub-Category 1:
04 Day Services	04010 prevocational services
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Prevocational services are supports that prepare an individual for paid employment and are intended to be a time-limited service along the continuum of employment supports. Prevocational services develop or improve job and non-job skills and increase preparedness to have a job in a competitive integrated setting through learning and work experiences, including volunteer work. This service is ideal for individuals newly exploring a possible interest in Competitive Integrated Employment (CIE) or who hope to develop, general, non-job-task-specific strengths and skills that contribute to employability in integrated community settings.

Activities within this service must be prevocational rather than vocational in nature. A service is determined to be prevocational when (1) services are not job-task oriented but are, instead, aimed at a generalized result, (2) services include activities which are not primarily directed at teaching specific job skills but at underlying habilitative goals or (3) participants are compensated at less than 50 percent of the minimum wage.

The use of prevocational services must be documented and support the individual’s stated employment outcomes in their PCISP. Prevocational services are intended to develop and teach general skills that lead to competitive and integrated employment including:
• Ability to communicate effectively with supervisors, co-workers and customers.

• Generally accepted community workplace conduct and dress.
• Ability to follow directions.
• Ability to attend to tasks.
• Workplace problem solving skills and strategies.
• General workplace safety and mobility training.

This service is part of a continuum of services that may lead to competitive integrated employment. Personal care/assistance is not a component of prevocational services.

Prevocational Services may be delivered in a facility setting or a community setting, using an off-site enclave or mobile community work crew models.

Facility settings are defined as nonresidential, nonintegrated settings that take place within the same building(s) for the duration of the service rather than being out in the community. Community settings are defined as nonresidential, integrated settings that are primarily out in the community where services are not rendered within the same building(s) alongside other nonintegrated individuals.

Group sizes:
• Small (4:1 or smaller)
• Medium (5:1 to 10:1)
• Large (larger than 10:1 but no larger than 16:1)

Monitoring of prevocational services occurs on a quarterly basis. Monitoring should include the assessment of progress towards employment goals, the appropriateness of the service, and input from the individualized support team lead by the individual. The objectives of monitoring include assessment of the individual’s progress toward achieving the outcomes identified on the individual’s PCISP related to employment and to verify the continued need for prevocational services. The appropriateness of prevocational services is determined by dividing the previous quarter’s gross earnings by the hours of attendance.

If the hourly wage falls below 50% of the Federal minimum wage, prevocational services may be continued. If the average wage exceeds 50% of the Federal minimum wage, prevocational services should be discontinued for the next quarter and when chosen by the individual, should be replaced with competitive integrated employment options, volunteer work experiences, and/or supports that develop job specific tasks related to the individual’s employment outcomes.

REIMBURSABLE ACTIVITIES:
Monitoring, training, education, demonstration, or support provided to assist with the acquisition and retention of skills in the following areas:
• Paid and unpaid training compensated less than 50% federal minimum wage.
• Generalized and transferrable employment skills acquisition.

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

This is a time-limited service that can be accessed by a given participant for a total of no more than 18 months throughout their time on this waiver. Exceptions to this limit will be made on a case-by-case basis by the State following the state's determination that exceeding this limit is clearly in alignment with the participant's individualized transition plan. Any provision of this service for longer than 18-months must be accompanied by a plan for transitioning which will be revisited and updated by the individual and their IST at least every six months with progress toward transition to competitive, integrated employment or another appropriate waiver service being a necessary precursor for an extension.

Activities Not Allowed:
• Services that are available under the Rehabilitation Act of 1973 or section 602(16) & (17) of Individual with Disabilities Education Act.
• Activities that do not foster the acquisition and retention of skills.
• Services in which compensation is greater than 50% federal minimum wage.
• Activities directed at teaching specific job skills.
• Sheltered employment, facility-based.
• Services furnished to a minor by parent(s) or stepparents(s) or legal guardian.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS Approved Prevocational Services Individual
Agency	FSSA/DDRS Approved Prevocational Agency

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Prevocational Services

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Prevocational Services Individual

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
o 460 IAC 6-10-5 Documentation of Criminal Histories;
o 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
o 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
o 460 IAC 6-5-20 Prevocational Services Provider Qualifications;
o 460 IAC 6-14-5 Requirements for Direct Care Staff;
o 460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The ISO-9001 human services QA system.
(5) The Council on Accreditation, or its successor.
(6) An independent national accreditation organization approved by the secretary

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Prevocational Services

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Prevocational Agency

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-20 Prevocational Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The ISO-9001 human services QA system.
(5) The Council on Accreditation, or its successor.
(6) An independent national accreditation organization approved by the secretary

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Live-in Caregiver (42 CFR § 441.303(f)(8))

Alternate Service Title (if any):

Rent and Food for Unrelated Live-in Caregiver

HCBS Taxonomy:

Category 1:	Sub-Category 1:
07 Rent and Food Expenses for Live-In Caregiver	07010 rent and food expenses for live-in caregiver
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

The payment for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. Payment will not be made when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.

Reimbursable Activities:
• The participant receiving these services lives in his or her own home.
• For payment to not be considered income for the participant receiving services, payment for the portion of the costs of rent and food attributable to an unrelated live-in caregiver (who has no legal responsibility to support the participant) must be made directly to the live-in caregiver.
• Room and board for the unrelated live-in caregiver (who is not receiving any other financial reimbursement for the provision of this service).
• Room: shelter type expenses including all property related costs such as rental or purchase of real estate and furnishings, maintenance, utilities and related administrative services.
• Board: three meals a day or other full nutritional regimen.
• Unrelated: unrelated by blood or marriage to any degree.
• Caregiver: an individual providing a covered service as defined by BDS service definitions or in a Medicaid

HCBS waiver, to meet the physical, social or emotional needs of the participant receiving services.

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

Activities not allowed:
• The participant is not permitted to live in the home of the caregiver or in a residence that is owned or leased by the provider of other services, including Medicaid waiver services.
• The live-in caregiver cannot be related by blood or marriage (to any degree) to the participant and/or has any legal responsibility to support the participant.
• The participant cannot receive live-in caregiver services and structured family caregiving services concurrently.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☐ **Relative**

☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Residential Habilitation and Support Provider
Individual	FSSA/DDRS Approved Residential Habilitation and Support Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Rent and Food for Unrelated Live-in Caregiver

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Residential Habilitation and Support Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-5-24 Residential Habilitation and Support Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Rent and Food for Unrelated Live-in Caregiver

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Residential Habilitation and Support Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-5-24 Residential Habilitation and Support Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
•460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Residential Habilitation

Alternate Service Title (if any):

Residential Habilitation and Support (hourly)

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
02 Round-the-Clock Services	02031 in-home residential habilitation
Category 2:	**Sub-Category 2:**
08 Home-Based Services	08010 home-based habilitation
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Residential habilitation and support (RHS) services means individually tailored supports that are specified in the PCISP that assist with the acquisition, retention, or improvement in skills related to living in the community. These supports include adaptive skill development, assistance with activities of daily living, community inclusion, transportation, adult educational supports, and social and leisure skill development that support the participant to live successfully in his or her own home.

HCBS provided during an acute care hospitalization assists the individual to maintain current levels of functioning and support, provides ongoing coordination of care, assurance that new or additional needs are identified and addressed by the person-centered planning team as the individual prepares to return to the community.

The HCBS provided in an acute care hospital must not be duplicative of services available in the acute care hospital setting.

A relative of the participant may be a provider of residential habilitation and support services. The decision that a relative is the best choice of persons to provide these services is a part of the person-centered planning process and is documented in the PCISP. When the provider is a relative, there is an annual review by the IST to determine whether the participant's relative should continue to be the provider of residential habilitation and support services.

Residential Habilitation and Support (RHS) Level 1 and Level 2 services provide up to a full day (24-hour basis) of services and/or supports for participants assigned an Algo score of 0, 1, or 2*, or participants assigned any Algo level not meeting criterion for RHS Daily Rate.

Billable under one of two level-specific Billing Codes:
• RH1O – Level 1 - for intermittent use of RHS Level 1 at 35 or fewer hours per week; OR
• RH2O – Level 2 - for greater than 35 hours per week of RHS.

Algo score/Descriptors//ICAP/OBA

The following descriptors appear in 460 IAC 13-5-1 Algo levels

Level: 0 (low)
Descriptor: Participants with Algo score of zero (0):

(A) High level of independence with few supports needed;
(B) No significant behavioral issues; and
(C) Requires minimal residential habilitation services.

Level: 1(Basic)
Descriptor: Participants with Algo score of one (1):
(A) Moderately high level of independence with few supports needed;
(B) Behavioral needs, if any, can be met with medication or informal direction by caregivers through the Medicaid state plan services; and
(C) Likely a need for day programming and light residential habilitation services to assist with certain tasks, but the participant can be unsupervised for much of the day and night.

Level: 2 (Regular)
Descriptor: Participants with Algo score of two (2):
(A) Moderate level of independence with frequent supports needed;
(B) Behavioral needs, if any, can be met with medication or light therapy, or both, every one (1) to two (2) weeks;
(C) Does not require twenty-four (24) hours a day support; and
(D) Generally able to sleep unsupervised, but needs structure and routine throughout the day.
Level: 3 (Moderate)
Descriptor: Participants with Algo score of three (3):
(A) Requires access to full-time support for medical or behavioral, or both, needs;
(B) Twenty-four (24) hours a day, seven (7) days a week staff availability;
(C) Behavioral and medical supports are not generally intense; and
(D) Behavioral and medical supports can be provided in a shared staff setting.

Level: 4 (High)
Descriptor: Participants with Algo score of four (4):
(A) Requires access to full-time support for medical or behavioral, or both, needs:
(i) Twenty-four (24) hours a day, seven (7) days a week frequent staff interaction; and
(ii) Requires line of sight support; and
(B) Has moderately intense needs that can generally be provided in a shared staff setting.

Level: 5 (Intensive)
Descriptor: Participants with Algo score of five (5):
(A) Requires access to full-time support with twenty-four (24) hours a day, seven (7) days a week absolute line of sight support;
(B) Needs are intense;
(C) Needs require the full attention of a caregiver with a one-to-one staff to participant ratio; and
(D) Typically only needed by those with intense behavioral needs, not medical needs alone.

Level: 6 (High Intensive)
Descriptor: Participants with Algo score of six (6):
(A) Requires access to full-time support:
(i) Twenty-four (24) hours a day, seven (7) days a week; and
(ii) More than a one-to-one staff to participant ratio;
(B) Needs are exceptional;
(C) Needs require more than one (1) caregiver exclusively devoted to the participant for at least part of each day; and
(D) Imminent risk of participant harming self or others, or both, without vigilant support.

The nationally recognized Inventory for Client and Agency Planning or ICAP was selected to be the primary tool for participant assessment.

The ICAP assessment determines a participant’s level of functioning for broad independence and general maladaptive factors. The ICAP addendum, commonly referred to as the behavior and health factors, determines a participant’s level of functioning on behavior and health factors.

These two assessments determine a participant’s overall Algo score, which can range from 0-6. Participants with Algo scores between 0 and 6 are considered outliers representing those who are the lowest and the highest on both ends of the functioning spectrum. On review, the State may manually adjust the designation of a participant from an Algo score of 5 to an Algo score of 6. Although this participant continues receiving the Algo 5 budget, their Algo score of 6 indicates a need

for additional oversight of the participant.

The stakeholder group designed a grid to build the allocations. The grid was developed with the following tenets playing key roles:
• Focus on daytime programming
• Employment
• Community integration
• Housemates

The OBA is then determined by combining the overall Algo score (determined by the ICAP and ICAP addendum), age, employment, and living arrangement.

REIMBURSABLE ACTIVITIES (From 10/01/2014 forward)

RHS includes the following activities:
• Direct support, monitoring and training to implement the PCISP outcomes for the participant through the following:
o Assistance with personal care, meals, shopping, errands, chore and leisure activities and transportation (excluding transportation that is covered under the Medicaid State Plan)
o Assurance that direct service staff are aware of and actively participate in the development and implementation of PCISP, Behavior Support Plans and Risk Plans**
o Coordination and facilitation of medical and non-medical services to meet healthcare needs, including physician consults, medications, development and oversight of a health plan,
utilization of available supports in a cost effective manner and maintenance of each participant's health record when the participant receiving RHS does not also utilize Wellness
Coordination Services. Collaboration and coordination with the wellness coordinator when the participant receiving RHS also utilizes Wellness Coordination Services.

**When Wellness Coordination services are utilized in addition to RHS services, the Wellness Coordinator who must be an RN/LPN is responsible for the development, oversight and maintenance of a Wellness Coordination plan as well the development, oversight and maintenance of the health-related Risk Plan, noting that a Comprehensive Medical Risk Plan may substitute for the Wellness Coordination Plan or participant risk plans.

The RN/LPN determines the appropriate mode of training to be used for the Direct Support Professional to ensure implementation of Risk Plans, noting that training may be by staff trained by the RN/LPN with the exception of nursing delegated tasks or other items the nurse feels that only a licensed nurse should train.

Additionally, the RN/LPN ensures completion of training of the Direct Support Professional to ensure implementation of Risk Plans.

As authorized under §3715 of the CARES Act, RHS services may be provided to an individual in an acute care hospital when such services are:
• Identified in an individual's person-centered service plan (or comparable plan of care);
• Provided to meet needs of the individual that are not met through the provision of hospital services;
• Not a substitute for services that the hospital is obligated to provide through its conditions of participation or under Federal or State law, or under another applicable requirement; and
• Designed to ensure smooth transitions between acute care settings and home and community-based settings, and to preserve the individual's functional abilities.

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

LIMITATIONS

• Reimbursable waiver funded Residential Habilitation services furnished to an adult waiver participant by a paid relative and/or legal guardian may not exceed a total of 40 hours a week per paid relative and/or legal guardian caregiver. (Definition of a relative follows the below Activities Not Allowed)

Additionally,
• Providers may not bill for RHS reimbursement for time when staff/paid caregiver is asleep. Only awake, engaged staff can be counted in reimbursement. (A team may decide that a staff or contractor may sleep while with a participant, but this activity is not billable.)
• RHS Level 1 and RHS Level 2 and remote support services are not billable concurrently/during the same time period.

• Intermittent use of RHS Level 1 may not exceed thirty-five (35) hours of service per week.

Activities Not Allowed

Reimbursement is not available through RHS in the following circumstances:
• Services furnished to a minor by the parent(s), step-parent(s), or legal guardian.
• Services furnished to a participant by the participant's spouse.
• Services to participants in Structured Family Caregiving or Children's Foster Care.
• Services that are available under the Medicaid State Plan.

*Related/relative implies any of the following natural, adoptive and/or step relationships, whether by blood or by marriage, inclusive of half and/or in-law status:
1) Aunt (natural, step, adopted)
2) Brother (natural, step, half, adopted, in-law)
3) Child (natural, step, adopted)
4) First cousin (natural, step, adopted)
5) Grandchild (natural, step, adopted)
6) Grandparent (natural, step, adopted)
7) Niece (natural, step, adopted)
8) Nephew (natural, step, adopted)
9) Parent (natural, step, adopted, in-law)
10) Sister (natural, step, half, adopted, in-law)
11) Spouse (husband or wife)
12) Uncle (natural, step, adopted)

NOTE: Per Indiana Code [IC 12-11-1.1], supported living service arrangements providing residential services may not serve more than four (4) unrelated participants in any one (1) setting. However, a program that was in existence on January 1, 2013, as a supervised group living program described within IC 12-11-1.1 and having more than four (4) participants residing as part of that program, was allowed to convert to a supported living service arrangement and continue to provide services to up to the same number of participants in the supported living setting.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS Approved RHS Individuals
Agency	FSSA/DDRS Approved RHS Agencies

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Residential Habilitation and Support (hourly)

Provider Category:
Individual

Provider Type:

FSSA/DDRS Approved RHS Individuals

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-5-24 Residential Habilitation and Support Services Provider Qualifications;
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-14 Heath Care Coordination Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training;
• 460 IAC 6-34-1 through 460 IAC 34-3 Transportation Services.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

• Per House Enrolled Act 1360 (P.L.154-2012), Indiana Code [IC 12-11-1.1-1] is amended to state:
o DDRS shall ensure that an entity approved to provide residential habilitation and support services under home and community based services waivers is accredited by an approved
national accrediting body. However, if an entity is accredited to provide home and community based services under subdivision (1) other than residential habilitation and support
services, the bureau may extend the time that the entity has to comply with this subdivision until the earlier of the following:
(A) The completion of the entity's next scheduled accreditation survey.
(B) July 1, 2015.
o In accordance with the above citation from Indiana Code [IC 12-11-1.1-1], RHS providers must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the
following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The ISO-9001 human services QA system.
(5) The Council on Accreditation, or its successor.
(6) An independent national accreditation organization approved by the secretary.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Residential Habilitation and Support (hourly)

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved RHS Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-5-24 Residential Habilitation and Support Services Provider Qualifications;
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-14 Heath Care Coordination Services Provider Qualifications;
•460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training;
• 460 IAC 6-34-1 through 460 IAC 34-3 Transportation Services.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

(A) The completion of the entity's next scheduled accreditation survey.
(B) July 1, 2015.

o In accordance with the above citation from Indiana Code [IC 12-11-1.1-1], RHS providers must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The ISO-9001 human services QA system.
(5) The Council on Accreditation, or its successor.
(6) An independent national accreditation organization approved by the secretary.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the

Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
09 Caregiver Support	09012 respite, in-home
Category 2:	**Sub-Category 2:**
09 Caregiver Support	09011 respite, out-of-home
Category 3:	**Sub-Category 3:**
02 Round-the-Clock Services	02033 in-home round-the-clock services, other
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Respite Care services means services provided to participants unable to care for themselves that are furnished on a short-term basis because of the absence or need for relief of those persons who normally provide care for the participant. Respite Care can be provided in the participant's home or place of residence, in the respite caregiver's home, in a camp setting, in a DDRS approved day habilitation facility, or in a non-private residential setting (such as a respite home).

Reimbursable Activities:
• Assistance with toileting and feeding.
• Assistance with daily living skills, including assistance with accessing the community and community activities.
• Assistance with grooming and personal hygiene.
• Meal preparation, serving and cleanup.
• Administration of medications.
• Supervision/support.
• Individual services.
• Group services (Unit rate divided by number of participants served).

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

Activities Not Allowed:

• Reimbursement for room and board.
• Services provided to a participant living in a licensed facility-based setting.
• The cost of registration fees or the cost of recreational activities (for example, camp).
• When the service of Structured Family Caregiving or Children's Foster Care is being furnished to the participant.
• Other family members (such as siblings of the participant) may not receive care or support from the provider while Respite care is being provided/billed for the waiver participant(s).

• Respite care shall not be used as day/child care.
• Respite is not intended to be provided on a continuous, long-term basis as part of daily services that would enable the unpaid caregiver to go to work or to attend school.
• Respite care shall not be used to provide services to a participant while the participant is attending school.
• Respite care may not be used to replace skilled nursing services that should be provided under the Medicaid State Plan.
• Respite care must not duplicate any other service being provided under the participant's PCISP.
• Services furnished to a minor by a parent(s), step-parent(s), or legal guardian.
• Services furnished to a participant by the participant's spouse.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Licensed Home Health Agencies
Individual	FSSA/DDRS Approved Respite Providers - Individual
Agency	FSSA/DDRS Approved Respite Agencies
Individual	FSSA/DDRS Approved Respite Providers - Individual - Skilled Nursing

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Licensed Home Health Agencies

Provider Qualifications

License *(specify):*

Home Health Agency IC 16-27-1, RN and LPN IC 25-23-1

Certificate *(specify):*

Home Health Aide Registered IC 16-27-1.5

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-26 Respite Care Services Provider Qualifications;
• 460 IAC 6-5-14 Heath Care Coordination Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Respite Providers - Individual

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-26 Respite Care Services Provider Qualifications;
• 460 IAC 6-5-14 Heath Care Coordination Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Respite Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-26 Respite Care Services Provider Qualifications;
• 460 IAC 6-5-14 Heath Care Coordination Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff; and
• 460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Respite Providers - Individual - Skilled Nursing

Provider Qualifications

License *(specify):*

IC 25-23 Licensed Practical Nurses and Registered Nurses

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-26 Respite Care Services Provider Qualifications;
• 460 IAC 6-5-14 Heath Care Coordination Services Provider Qualifications;
• 460 IAC 6-14-5 Requirements for Direct Care Staff;
• 460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Nurses rendering waiver-funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Extended State Plan Service

Service Title:

Occupational Therapy

HCBS Taxonomy:

Category 1:	Sub-Category 1:
11 Other Health and Therapeutic Services	11080 occupational therapy
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

◉ **Service is included in approved waiver. There is no change in service specifications.**

○ **Service is included in approved waiver. The service specifications have been modified.**

○ **Service is not included in the approved waiver.**

Service Definition *(Scope):*

Occupational therapy services means services provided by a licensed/certified occupational therapist.

REIMBURSABLE ACTIVITIES:

• Evaluation and training services in the areas of gross and fine motor function, self-care and sensory and perceptual motor function.
• Screening.
• Assessments.
• Planning, reporting and write-up when in association with the actual one-on-one direct care/therapy service delivery with the waiver participant.
• Direct therapeutic intervention.
• Design, fabrication, training and assistance with adaptive aids and devices.
• Consultation or demonstration of techniques with other service providers and family members.

One (1) hour of billed therapy service must include a minimum of forty-five (45) minutes of direct patient care with the balance of the hour spent in related patient services.

This waiver service is only provided to individuals ages 21 and over. All medically necessary occupational therapy services for children under age 21 are covered in the state plan benefit pursuant to the EPSDT benefit.

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

If participants under age 21 choose to utilize Occupational Therapy, they should access Occupational Therapy services through EPSDT.

ACTIVITIES NOT ALLOWED

• Therapy services furnished to the participant within the educational/school setting or as a component of the participant's school day
• Activities delivered in a nursing facility
• Services available through the Medicaid State plan (a Medicaid State plan prior authorization denial is required before reimbursement is available through the Medicaid waiver for this service).

NOTE: Therapies provided through this service will not duplicate therapies provided under any other service.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Licensed Occupational Therapist
Agency	FSSA/DDRS Approved Agency Providing Occupational Therapy
Agency	Home Health Agencies

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Occupational Therapy

Provider Category:

Individual

Provider Type:

Licensed Occupational Therapist

Provider Qualifications

License *(specify):*

IC 25-23.5 (Licensure and certification requirements)

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-17 Occupational Therapy Services Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Occupational Therapy

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Agency Providing Occupational Therapy

Provider Qualifications

License *(specify):*

Occupational Therapist IC 25-23.5

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-17 Occupational Therapy Services Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Occupational Therapy

Provider Category:

Agency

Provider Type:

Home Health Agencies

Provider Qualifications

License *(specify):*

IC 16-27-1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
• 460 IAC 6-10-5 Documentation of Criminal Histories;
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance;
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers;
• 460 IAC 6-5-17 Occupational Therapy Services Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Extended State Plan Service

Service Title:

Physical Therapy

HCBS Taxonomy:

Category 1:	Sub-Category 1:
11 Other Health and Therapeutic Services	11090 physical therapy
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Physical Therapy Services means services provided by a licensed physical therapist

REIMBURSABLE ACTIVITIES:

• Screening and assessment.
• Treatment and training programs designed to preserve and improve abilities for independent functioning, such as gross and fine motor skills, range of motion, strength, muscle tone, activities of daily living.
• Planning, reporting and write-up when in association with the actual one-on-one direct care/therapy service delivery with the waiver participant.
• Direct therapeutic intervention.
• Training and assistance with adaptive aids and devices.
• Consultation or demonstration of techniques with other service providers and family members.

One (1) hour of billed therapy service must include a minimum of forty-five (45) minutes of direct patient care with the balance of the hour spent in related patient services.

This waiver service is only provided to individuals ages 21 and over. All medically necessary psychological therapy services for children under age 21 are covered in the state plan benefit pursuant to the EPSDT benefit.

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

If participants under age 21 choose to utilize Physical Therapy services, they should access Physical Therapy services through EPSDT.

ACTIVITIES NOT ALLOWED

• Therapy services furnished to the participant within the educational/school setting or as a component of the participants school day.
• Activities delivered in a nursing facility.
• Services available through the Medicaid State plan (a Medicaid State plan prior authorization denial is required before reimbursement is available through the waiver for this service).

NOTE: Therapies provided through this service will not duplicate therapies provided under any other service.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Agency Providing Physical Therapy
Individual	Licensed Physical Therapist
Agency	Home Health Agencies

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Physical Therapy

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Agency Providing Physical Therapy

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-18 Physical Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Physical Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Physical Therapy

Provider Category:

Individual

Provider Type:

Licensed Physical Therapist

Provider Qualifications

License *(specify):*

IC 25-27-1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-18 Physical Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Physical Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Physical Therapy

Provider Category:

Agency

Provider Type:

Home Health Agencies

Provider Qualifications

License *(specify):*

IC 16-27-1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-18 Physical Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Physical Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Extended State Plan Service

Service Title:

Psychological Therapy

HCBS Taxonomy:

Category 1:

10 Other Mental Health and Behavioral Services

Sub-Category 1:

10030 crisis intervention

Category 2:

10 Other Mental Health and Behavioral Services

Sub-Category 2:

10060 counseling

Category 3:

10 Other Mental Health and Behavioral Services

Sub-Category 3:

10070 psychosocial rehabilitation

Category 4:

11 Other Health and Therapeutic Services

Sub-Category 4:

11120 cognitive rehabilitative therapy

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

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

Service Definition *(Scope):*

Psychological Therapy services means services provided by a licensed psychologist with an endorsement as a health service provider in psychology, a licensed marriage and family therapist, a licensed clinical social worker, or a licensed mental health counselor.

REIMBURSABLE ACTIVITIES:

• Individual counseling
• Biofeedback
• Individual-centered therapy
• Cognitive behavioral therapy
• Psychiatric services
• Crisis counseling
• Family counseling
• Group counseling
• Substance abuse counseling and intervention
• Planning, reporting and write-up when in association with the actual one-on-one direct care/therapy service delivery with the waiver participant

One (1) hour of billed therapy service must include a minimum of forty-five (45) minutes of direct patient care with the balance of the hour spent in related patient services

This waiver service is only provided to individuals ages 21 and over. All medically necessary psychological therapy services for children under age 21 are covered in the state plan benefit pursuant to the EPSDT benefit.

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

If participants under age 21 choose to utilize Psychological Therapy, they should access Psychological Therapy services through EPSDT.

Activities Not Allowed:

• Activities delivered in a nursing facility
• Services available through the Medicaid State plan (a Medicaid State plan prior authorization denial is required before reimbursement is available through the Medicaid waiver for this service).
• Therapy services furnished to the participant within the educational/school setting or as a component of the participant's school day

NOTE: Therapies provided through this service will not duplicate therapies provided under any other service.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Mental Health Counselor
Agency	FSSA/DDRS Approved Qualified Agencies
Individual	Clinical Social Worker
Individual	Licensed Psychologists
Individual	Marriage/Family Therapist

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Psychological Therapy

Provider Category:

Individual

Provider Type:

Mental Health Counselor

Provider Qualifications

License *(specify):*

IC 25-23.6

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-21 Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Psychological Therapy

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Qualified Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Criminal Histories,
460 IAC 6-12 Insurance,
460 IAC 6-11 Provider Financial Status,
460 IAC 6-5-21 (Psychological) Therapy Provider qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Psychological Therapy

Provider Category:

Individual

Provider Type:

Clinical Social Worker

Provider Qualifications

License *(specify):*

IC 25-23.6

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-21 Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Psychological Therapy

Provider Category:

Individual

Provider Type:

Licensed Psychologists

Provider Qualifications

License *(specify):*

IC 25-33-1-5.1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-21 Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Psychologists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Psychological Therapy

Provider Category:

Individual

Provider Type:

Marriage/Family Therapist

Provider Qualifications

License *(specify):*

IC 25-23.6

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-21 Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Extended State Plan Service

Service Title:

Speech /Language Therapy

HCBS Taxonomy:

Category 1:

11 Other Health and Therapeutic Services

Sub-Category 1:

11100 speech, hearing, and language therapy

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

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

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

Service Definition *(Scope):*

Speech-Language Therapy Services means services provided by a licensed speech pathologist.

REIMBURSABLE ACTIVITIES:

• Screening.
• Assessment.
• Direct therapeutic intervention and treatment for speech and hearing disabilities such as delayed speech, stuttering, spastic speech, aphasic disorders, injuries, lip reading or signing, or the use of hearing aids.
• Evaluation and training services to improve the ability to use verbal or non-verbal communication.
• Language stimulation and correction of defects in voice, articulation, rate and rhythm.
• Design, fabrication, training and assistance with adaptive aids and devices.
• Consultation demonstration of techniques with other service providers and family members.
• Planning, reporting and write-up when in association with the actual one-on-one direct care/therapy service delivery with the waiver participant.

One (1) hour of billed therapy service must include a minimum of forty-five (45) minutes of direct patient care/therapy with the balance of the hour spent in related patient services.

This waiver service is only provided to individuals ages 21 and over. All medically necessary speech/language therapy services for children under age 21 are covered in the state plan benefit pursuant to the EPSDT benefit.

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

If individuals under age 21 choose to utilize Speech/Language Therapy, they should access Speech/Language Therapy services through EPSDT.

Activities Not Allowed

• Services available through the Medicaid State Plan (a Medicaid State Plan prior authorization denial is required before reimbursement is available through the Medicaid waiver for this service).
• Therapy services furnished to the participant within the educational/school setting or as a component of the participants school day
• Activities delivered in a nursing facility

NOTE: Therapies provided through this service will not duplicate therapies provided under any other service.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Home Health Agencies
Agency	FSSA/DDRS Approved Agency providing Speech/Language Therapy
Individual	Licensed Speech/Language Therapist

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Speech /Language Therapy

Provider Category:

Agency

Provider Type:

Home Health Agencies

Provider Qualifications

License *(specify):*

IC 16-27-1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-28 Speech-Language Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Speech/Language Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Speech /Language Therapy

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Agency providing Speech/Language Therapy

Provider Qualifications

License *(specify):*

IC 25-35.6 licensed Speech/Language Therapist

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-28 Speech-Language Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Speech/Language Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
Service Name: Speech /Language Therapy

Provider Category:

Individual

Provider Type:

Licensed Speech/Language Therapist

Provider Qualifications

License *(specify):*

IC 25-35.6

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-28 Speech-Language Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Speech/Language Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Behavioral Support Services (BSS)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
10 Other Mental Health and Behavioral Services	10040 behavior support
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Behavioral supports are an array of services designed to support individuals who are experiencing or are likely to experience challenges accessing, and actively participating in the community as a result of behavioral, social, or emotional challenges.

Behavioral support services are intended to empower individuals and families (by leveraging their strengths and unique abilities) to achieve self-determination, interdependence, productivity, integration and inclusion in all facets of community life, across all environments, and across the lifespan. Behavioral supports should be individually designed to offer choice while creating social opportunities to generate integration, collaboration, and inclusion in the community.

Behavioral supports services encourage individuals to live their best life while exploring their community with social experiences that may include work and employment opportunities. Behavioral support services emphasize learning hands-on in the community and providing opportunities for individuals to gain experience in community-based settings. Behavioral support services may offer improved training and expectations around competitive integrated employment designed for positive outcomes that will promote healthy and fulfilling everyday living.

REIMBURSABLE ACTIVITIES:
• Completing the functional behavioral assessment: this includes observation, environmental assessment, record reviews, interviews, data collection, complete psychosocial and biomedical history to identify targeted behaviors, the function of those behaviors, and to hypothesize the underlying need for new learning. Based on the principals of person-centered thinking and positive behavioral support, the assessment process should inform the recommendations for development of the behavioral support plan.
• Developing a comprehensive behavioral support plan and subsequent revisions: this includes devising proactive and reactive strategies designed to support the participant in various settings, including employment locations. Any restrictive techniques employed as part of the behavioral support plan must be approved by a human rights committee, be time-limited, and regularly reviewed for elimination or reduction of the restrictive techniques to ensure appropriate reduction in these interventions over time. Either a Level 1 or Level 2 clinician can develop the behavioral support plan (BSP), but any behavioral support plans developed by a Level 2 clinician (behavior consultant) must be submitted for review and written approval by a Level 1 clinician (licensed psychologist) prior to implementation for the development to be a reimbursable activity. All other reimbursable activities can be performed by either a Level 1 or Level 2 clinician.
• Obtaining consensus of the IST that the behavioral support plan is feasible for implementation and uses the least restrictive methods possible.
• Supporting the participant in learning new, positive behaviors in all life domains including employment as outlined in the behavioral support plan. This may include coping strategies, improving interpersonal relationships, or other positive strategies to reduce targeted behaviors and increase quality of life.
• Training staff, family members, housemates, or other IST members on the implementation of the behavioral support plan.
• Consulting with team members to achieve the outcomes of assessment and behavioral support planning.
• Concurrent service delivery of behavioral support services with other approved Medicaid services is allowable under the following conditions:
  o The service being provided concurrently with behavioral support services is not similar in nature, does not have a similar purpose, and does not promote similar outcomes to behavioral support services.
  o The need for the concurrent service is clearly documented in the behavioral support plan, and outlines the individualized assessed need, and how the behavioral support service will support or contribute to the specified need.

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

ACTIVITIES NOT ALLOWED

• Restrictive techniques - any techniques not approved by the IST and the human rights committee.
• Therapy services provided to the participant within the educational/school setting or as a component of the participant's school day.
• Services provided to a minor by a parent(s), step-parent(s), or legal guardian.
• Services provided to a participant by the participant's spouse.

• In the event that a Level 1 clinician performs Level 2 clinician activities, billing for Level 1 services is not allowed. In this situation, billing for Level 2 services only is allowed.
• Simultaneous receipt of facility-based support services or other Medicaid-billable services and intensive behavioral supports.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved BSS Agencies
Individual	FSSA/DDRS Approved BSS Individuals

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavioral Support Services (BSS)

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved BSS Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-4 Behavioral Support Services Provider Qualifications,
460 IAC 6-18-1 to 460 IAC 6-18-7 Behavioral Support Services

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavioral Support Services (BSS)

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved BSS Individuals

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-4 Behavioral Support Services Provider Qualifications,
460 IAC 6-18-1 to 460 IAC 6-18-7 Behavioral Support Services

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Career Exploration and Planning

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
03 Supported Employment	03030 career planning
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Career exploration is a targeted service designed to help an individual make an informed choice about whether they wish to pursue competitive integrated employment (CIE) including self-employment, obtain information to dissuade myths around or hesitation about CIE, and to identify the career path they would like to pursue either independently or with other available supports. This service is ideal for individuals newly transitioning from school-based services who are unsure as to their path toward CIE and may be used to gather information in preparation for a referral to Vocational Rehabilitation Services, an American Jobs Center, or other employment supports. If the individual is employed, career exploration may be used to explore advancement opportunities in their chosen career, or to explore other CIE career objectives which are more consistent with their skills and interests.

Career exploration is not appropriate for individuals who have determined their desired career path and are already actively seeking CIE in that career path, either independently or with employment supports. Individuals with identified career outcomes documented in the PCISP should be referred to Vocational Rehabilitation Services, American Job Centers, or other employment supports.

This service also includes, when applicable, introductory education on the numerous work incentives for individuals receiving publicly funded benefits (e.g., SSI, SSDI, Medicaid, Medicare, etc.), and how Supported Employment services work (including Vocational Rehabilitation services). Educational information is provided to the individual and the legal guardian and/or most involved family member(s), if applicable, to ensure legal guardian/family support for the individual's choice to pursue CIE. The educational aspects of this service shall include addressing any concerns, hesitations or objections of the individual and the legal guardian/family, if applicable.

Service may be provided on an individual basis or in groups dependent on participant choice. When group services are offered, the group shall not exceed 4 persons and must be formed based on shared CIE interests of the group members.

Services must be provided in community settings.

Reimbursable Activities:
• Activities to identify an individual's specific interests and aptitudes for CIE, including experience and skills transferable to CIE.
• Exploration of CIE opportunities in the local area that are specifically related to the individual's identified interests, experiences and/or skills can include:
- business tours
- informational interviews
- job shadows
- work experiences.
• Set-up, preparation for, and debriefing of each exploration opportunity.
• Introductory education on available employment supports, work incentives, supported employment services, and benefits of working in competitive integrated employment settings.
• Development of documentation around individual's interests and aptitudes, stated career objectives, and development of a strengths-based career profile for use and guidance when seeking individual employment support. This profile must include the individual's determined career path and outcome documented in the PCISP. Career profiles may also be used to develop an individual's resume and inform outreach to local employers.
• When applicable, career profiles should include:
- dreams, goals, and interests,
- talents, skills, and knowledge,
- learning styles,
- positive personality traits and values,
- workplace and environmental preferences,
- dislikes and situations/careers to avoid,
- previous work experiences,
- support system and community resources,
- specific challenges and possible solutions (including benefits considerations and accommodation needs),
- career opportunities (including preferred career paths and potential contributions to community employers).

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

Career Exploration and Planning services are intended to be a time-limited service along the continuum of employment supports. Career Exploration and Planning services shall not exceed twenty (20) hours a month for six (6) months in any twelve (12) month period. The state will reevaluate this limit and any need for an exceptions policy prior to future waiver amendments.

Activities Not Allowed:
• Services that are available under section 110 of the Rehabilitation Act of 1973 or section 602(16) & (17) of Individual with Disabilities Education Act (IDEA). Documentation must be maintained verifying that the service is not otherwise available or funded under the Rehabilitation Act of 1973 as amended, or the IDEA

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Approved Employment Exploration and Career Planning Provider Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Career Exploration and Planning

Provider Category:

Agency

Provider Type:

Approved Employment Exploration and Career Planning Provider Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Providers must meet the following criteria:
• Enrolled as an active Medicaid provider
• Be FSSA/DDRS-approved
• Comply with Indiana Administrative Code, 460 IAC 6, including:
– 460 IAC 6-10-5 Documentation of Criminal Histories
– 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance
– 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers
– 460 IAC 6-5-20 Prevocational Services Provider Qualifications
– 460 IAC 6-14-5 Requirements for Direct Care Staff
– 460 IAC 6-14-4 Training
• Comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and this module accessible from the IHCP Bulletins, Banner Pages and Reference Modules page at in.gov/medicaid/providers
• Must obtain/maintain accreditation (specific to Indiana programs) by at least one of the following organizations:
– The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor
– The Council on Quality and Leadership In Supports for People with Disabilities, or its successor
– The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor
– The National Committee for Quality Assurance, or its successor
– The ISO-9001 human services quality assurance (QA) system
– An independent national accreditation organization approved by the FSSA Secretary

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Community Transition

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
16 Community Transition Services	16010 community transition services
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Community transition services are specified in the PCISP and include reasonable, one-time set-up expenses for participants who make the transition from an institution to their own home in the community and will not be reimbursable on any subsequent move.

Note: Own home is defined as any dwelling, including a house, an apartment, a condominium, a trailer, or other lodging that is owned, leased, or rented by the participant and/ or the participant's guardian or family, or a home that is owned and/ or operated by the agency providing supports.

Items purchased through community transition Services are the property of the participant receiving the service, and the participant takes the property with him or her in the event of a move to another residence, even if the residence from which he or she is moving is owned by a provider agency. Nursing facilities are not reimbursed for community transition services because those services are part of the per diem.

REIMBURSABLE ACTIVITIES:
• Security deposits that are required to obtain a lease on an apartment or home.
• Essential furnishings and moving expenses required to occupy and use a community domicile including a bed, table or chairs, window coverings, eating utensils, food preparation items, bed or bath linens.
• Set-up fees or deposits for utility or service access including telephone, electricity, heating, and water.
• Health and safety assurances including pest eradication, allergen control, or one time cleaning prior to occupancy.
• When the participant is receiving residential habilitation and support services, structured family caregiving services, or day habilitation services under the CIH waiver, the community transition supports service is included in the CCB

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

Community transition services are limited to one time set-up expenses, up to $2,500.

ACTIVITIES NOT ALLOWED
• Apartment or housing rental expenses.
• Food.
• Appliances.
• Diversional or recreational items such as hobby supplies.
• Television.
• Cable TV access.
• VCRs or DVD players.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS Approved Residential Habilitation and Support ("Individual" Provider Category), Day Habilitation, or Community-Based Habilitation ("Individual" Provider Category)
Agency	FSSA/DDRS Approved Residential Habilitation and Support Agencies, Structured Family Caregiving Agencies, Day Habilitation, or Community-Based Habilitation Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Transition

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Residential Habilitation and Support ("Individual" Provider Category), Day Habilitation, or Community-Based Habilitation ("Individual" Provider Category)

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-34 Community Transition Supports Provider Qualifications, and
460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS

BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Transition

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Residential Habilitation and Support Agencies, Structured Family Caregiving Agencies, Day Habilitation, or Community-Based Habilitation Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-34 Community Transition Supports Provider Qualifications, and
460 IAC 6-14-4 Training.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the

Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

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

Service Title:

Extended Services

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
17 Other Services	17990 other
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Extended Services are ongoing employment support services which enable a participant to maintain integrated competitive employment in a community setting. Participants must be employed in a community-based, competitive job that pays at or above minimum wage in order to access this service.

The initial job placement, training, stabilization may be provided through Indiana Vocational Rehabilitation Services. Extended Services provide the additional work related supports needed by the participant to continue to be as independent as possible in community employment. If an employed participant has obtained community based competitive employment and stabilization without Vocational Rehabilitation’s services, the participant is still eligible to receive Extended Services, as long as the participant meets the qualifications below.

Ongoing employment support services are identified in the participants’ PCISP and must be related to the participants’ limitations in functional areas (i.e. self-care, understanding and use of language, learning, mobility, self-direction, capacity for independent living, economic self-sufficiency), as are necessary to maintain employment.

Documentation is maintained in the file of each individual receiving this service that the service is not available under a program funded under section 110 of the Rehabilitation Act of 1973 or the IDEA (20 U.S.C. 1401 et seq.). Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:
1. Incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or
2. Payments that are passed through to users of supported employment services.

Reimbursable Activities

• Ensuring that natural supports at the work site are secured through interaction with supervisors and staff. A tangible outcome of this activity would be a decrease in the number of hours of extended services a participant accessed over time.
• Training for the participant, and/or the participant's employer, supervisor or coworkers, to increase the participant's inclusion at the worksite.
• Regular observation or support of the participant to reinforce and stabilize the job placement.
• Job-specific or job-related safety training.
• Job-specific or job-related self-advocacy skills training.
• Reinforcement of work-related personal care and social skills.
• Training on use of public transportation and/or acquisition of appropriate transportation.
• Facilitating, but not funding, driver's education training.
• Coaching and training on job-related tasks such as computer skills or other job-specific tasks.
• Travel by the provider to the job site is allowable as part of the delivery of this service.

Individual (one-on-one) services can be billed in 15 minute increments.

For Extended Services provided in a group setting, reimbursement equals the unit rate divided by the number of individuals served.

With the exception of 1:1 on the job coaching, support and observation, the potential exists for all components of the extended services service definition to be applicable to either an individual waiver participant or to a group of participants. However, specific examples of activities that might be rendered in a group setting would include instructing a group of individuals on professional appearance requirements for various types of employment, reinforcement of work-related personal care or social skills, knowing how to get up in time to get ready for and commute to work. Groups could receive job-specific or job-related safety training, self-advocacy training, or training on the use of public transportation. A group could receive training on computer skills or other job-specific tasks when group participants have similar training needs.

Additional Information:
• Participants may also utilize workplace assistance during any hours of competitive integrated employment in conjunction with their use of extended services.
• Extended services are not time limited.
• Community settings are defined as non-residential, integrated settings that are in the community. Services may not be rendered within the same building(s) alongside other non-integrated participants.
• Competitive integrated employment is defined as full or part-time work at minimum wage or higher, with wages and benefits similar to those without disabilities performing the same work, and fully integrated with co-workers without disabilities.
• Participants may be self-employed, working from their own homes, and still receive extended services when the work is competitive and could also be performed in an integrated environment by and among persons without intellectual/developmental disabilities.

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

NOTE:
Group services may only be rendered at the discretion of the IST and in group sizes no greater than four individuals to one staff. In addition, the provider must be able to provide appropriate documentation, as outlined in the DDRS HCBS Waivers Provider Reference Module on the IHCP Provider Reference Materials webpage, demonstrating that the ratio for each claimed timeframe of services did not exceed the maximum allowable ratio determined by the IST for each group participant, and provide documentation identifying other group participants, by using the individuals' HIPAA naming convention.

Activities Not Allowed

Reimbursement is not available under Extended Services for the following activities:
• Any non-community based setting where the majority (51% or more) of the individuals have an intellectual or developmental disability.
• Sheltered work observation or participation.
• Volunteer endeavors.
• Any service that is otherwise available under the Rehabilitation Act of 1973 or Public Law 94-142.
• Public relations.
• Incentive payments made to an employer to subsidize the employer's participation in extended services.

• Payment for vocational training that is not directly related to the individual's extended service needs outlined in the PCISP.
• Extended services do not include payment for supervisory activities rendered as a normal part of the business setting.
• Extended Services provided to a minor by a parent(s), step-parent(s), or legal guardian, or spouse.
• The provision of transportation of an individual participant is not a reimbursable activity within extended services.
• Waiver funding is not available for the provision of vocational services delivered in facility based or sheltered work settings, where individuals are supervised for the primary purpose of producing goods or performing services.
• Group supports delivered to participants who are utilizing different support options. For example, one individual in the group is using Extended Services and another individual in the same group setting is using day habilitation. This type of activity would not be allowed.

NOTE: Supported employment services continue to be available under the Rehabilitation Act of 1973 through the Vocational Rehabilitation Services (VRS) program within FSSA/DDRS's Bureau of Rehabilitation Services (BRS).

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Extended Services Agencies
Individual	FSSA/DDRS Approved Extended Services - Individual

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Extended Services

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Extended Services Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,

460 IAC 6-14-4 Training,

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Must obtain/maintain Indiana accreditation by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership in Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The National Commission on Quality Assurance, or its successor.
(5) An independent national accreditation organization approved by the secretary

In order to be eligible to perform this service a provider must meet the standards as a Community Rehabilitation Provider as outlined in Indiana Code 12-12-1-4.1.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Extended Services

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Extended Services - Individual

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Must obtain/maintain Indiana accreditation by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.

(2) The Council on Quality and Leadership in Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The National Commission on Quality Assurance, or its successor.
(5) An independent national accreditation organization approved by the secretary

In order to be eligible to perform this service a provider must meet the standards as a Community Rehabilitation Provider as outlined in Indiana Code 12-12-1-4.1.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Facility Based Support Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
04 Day Services	04060 adult day services (social model)
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Facility based support services are structured, comprehensive, non-residential programs that provide health, social, recreational, and therapeutic activities, as well as optional educational and life skill opportunities as described in the PCISP. Participants attend on a planned basis.

These services must be provided in a congregate setting in groups not to exceed 16:1.

Reimbursable activities:
• Monitor and/or supervise activities of daily living (ADLs) defined as dressing, grooming, eating, walking, and toileting with hands-on assistance provided as needed.
• Appropriate structure, support and intervention.
• Minimum staff ratio: 1 staff for each 16 participants.
• Medication administration.
• Optional or non-work related educational and life skill opportunities (such as how to use computers/computer programs/Internet, set an alarm clock, write a check, fill out a
bank deposit slip, plant and care for vegetable/flower garden, etc.) may be offered and pursued.

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

Activities not allowed:

• Any activity that is not described in allowable activities is not included in this service.
• Services furnished to a minor by a parent(s), step-parent(s), or legal guardian.
• Services furnished to a participant by the participant's spouse.
• Prevocational services.

Habilitation services reimbursement does not include reimbursement for the cost of the activities in which the participant in a group is participating when they receive skills training, such as the cost to attend a community event.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS-approved facility-based habilitation service providers
Agency	FSSA/DDRS Approved Facility Based Support Services Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Facility Based Support Services

Provider Category:

Individual

Provider Type:

FSSA/DDRS-approved facility-based habilitation service providers

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications, and
460 IAC 6-5-30 Transportation Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Facility Based Support Services

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Facility Based Support Services Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,

460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications, and 460 IAC 6-5-30 Transportation Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Family and Caregiver Training

HCBS Taxonomy:

Category 1:	Sub-Category 1:
09 Caregiver Support	09020 caregiver counseling and/or training
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Family and caregiver training services provide education and support directly to the family caregiver of a participant in order to increase the confidence and stamina of the caregiver to support the participant. Education and training activities are based on the family/caregiver's unique needs and must be specifically identified in the PCISP.

Reimbursable activities:
• Educational materials or training programs, workshops, and conferences for caregivers that are directly related to the caregiver's role in supporting the participant in areas specified in the PCISP that relate to:
• Understanding the disability of the participant;
• Achieving greater competence and confidence in providing supports;
• Developing and accessing community and other resources and supports;
• Developing or enhancing key parenting strategies;
• Developing advocacy skills; and
• Supporting the participant in developing self-advocacy skills.
• Education, training, or counseling must be aimed at assisting caregivers who support the participant to understand and address participant needs as specified in the PCISP.

The services under the Family and Caregiver Training are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

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

Reimbursement for this service is limited to no more than $5,000/year.

Activities not allowed:
• Educational materials or training programs, workshops, and conferences that are not related to the caregiver's ability to support the participant.
• Education and training may not be provided in order to train providers, even when those providers will subsequently train caregivers.
• Training provided to caregivers who receive reimbursement for training costs within their Medicaid line item reimbursement rates.
• Cost of travel, meals, and overnight lodging while attending the training program, workshop, or conference.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Family and Caregiver Training Agencies
Individual	FSSA/DDRS Approved Family and Caregiver Training Individuals

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Family and Caregiver Training

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Family and Caregiver Training Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-13 Family and Caregiver Training Services Provider Qualifications, and 460 IAC 6-23-1 Requirements for Provision of Services,
460 IAC 6-14-4 Training,

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Family and Caregiver Training

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Family and Caregiver Training Individuals

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,

460 IAC 6-5-13 Family and Caregiver Training Services Provider Qualifications, and 460 IAC 6-23-1 Requirements for Provision of Services,
460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Home Modification Assessment

HCBS Taxonomy:

Category 1:	Sub-Category 1:
17 Other Services	17030 housing consultation
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

The service will be used to objectively determine the specifications for a home modification that is safe, appropriate and feasible in order to ensure accurate bids and workmanship. All participants must receive a home modification assessment with a certified waiver provider selected by the participant prior to any subsequent home modifications as well as a home modification inspection upon completion of the work. A home modification will not be reimbursed until the final inspection has been completed.

The home modification assessment will assess the home for physical adaptations to the home, which as indicated by individual's service plan, are necessary to ensure the health, welfare and safety of the individual and enable the individual to function with greater independence in the home, and without which the individual would require institutionalization.

The assessor will be responsible for writing the specifications, review of feasibility and the post-project inspection. Upon completion of the specifications, and review of feasibility, the Assessor will prepare and submit the project specifications to the case manager and individual for the bidding process and be paid first installment for completion of home specifications. Once the project is complete, the assessor, consumer and case manager will each be present on an agreed upon date and time to inspect the work and sign- off indicating that it was completed per the agreed upon bid and be paid the final installment of the home modification work. In the event the participant, provider, assessor and/or case manager become aware of discrepancies for complaints about the work being completed, the provider shall stop work immediately, and contact the case manager and Bureau of Disabilities Services (BDS) for further instruction.

The BDS also has the ability to request additional assessment visits to help resolve a disagreement between the home modification provider and the participant. This payment is not included in the actual home modification cost category and shall not be subtracted from the participant's lifetime cap for home modifications. The case management provider entity will be responsible for maintaining related records that can be accessed by the state.

ALLOWABLE ACTIVITIES
• Evaluation of the current environment, including the identification of barriers, underneath the home, electrical and plumbing, which may prevent the completion of desired modifications.
• Reimbursement for non-feasible assessments.
• Drafting of specifications
• Preparation/submission of specifications
• Examination of the modification (inspection/approve)
• Contact county code enforcement

SERVICE STANDARDS
• Need for home modification must be indicated in the participant's plan of care
• Modification must address the participant's level of service needs
• Proposed specifications for modification must conform to the requirements and limitations of the current approved service definition for home modification services
Assessment should be conducted by an approved, qualified individual who is independent of the entity providing the home modifications.
Contact appropriate authority regarding potential code violations.

DOCUMENTATION STANDARDS
• Need for home modification must be indicated in the participant's plan of care
• Modification must address the participant's level of service needs
A• ny discrepancy noted by the provider, case manager and/or participant shall be detailed in the final inspection, and addressed by the assessor.

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

An annual cap of $574.38 is available for home modification assessment services, unless the BDS requests an additional assessment to help mediate disagreements between the home modification provider and the participant.

ACTIVITIES NOT ALLOWED
• Home Modification Assessment services shall not be performed by the same provider that performs the subsequent Home Modification.
• Home modification assessment services will not be reimbursed when the owner of the organization is a parent of a minor child participant, the spouse of a participant, the attorney-in-fact (POA) of a participant, the Health care representative (HCR) of a participant, or the legal guardian of a participant.

• This service must not be used for living arrangements that are owned or leased by providers of waiver services.

Payment will not be made for home modifications under this service.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☐ **Relative**

☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS approved Home Modification Assessment Individual
Individual	Architect

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Home Modification Assessment

Provider Category:

Individual

Provider Type:

FSSA/DDRS approved Home Modification Assessment Individual

Provider Qualifications

License *(specify):*

IC 25-20.2 Home Inspector

Certificate *(specify):*

In addition to the licensure standard, either a Certified Aging-In-Place Specialist (CAPS Certification – National Association of Home Builders) OR
a Executive Certificate in Home Modifications (University of Southern California)

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12 Insurance, and
460 IAC 6-11 Financial Status of Providers

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana-specific licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Home Modification Assessment

Provider Category:

Individual

Provider Type:

Architect

Provider Qualifications

License *(specify):*

IC 25-4

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12 Insurance, and
460 IAC 6-11 Financial Status of Providers

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana-specific licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Home Modifications

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	14020 home and/or vehicle accessibility adaptations
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Home modifications are those physical adaptations to the home, required by the PCISP, which are necessary to ensure the health, welfare and safety of the participant, or which enable the participant to function with greater independence in the home.

DDRS' waiver services must approve all home modifications prior to service being rendered.

REIMBURSABLE ACTIVITIES:
• Installation of ramps and grab bars.
• Widening doorways.
• Modifying existing bathroom facilities.
• Installation of specialized electric and plumbing systems necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the participant including anti-scald devices.
• Maintenance and repair of the items and modifications installed during the initial request.

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

Reimbursement for Home Modification Supports has a lifetime limit or of $15,000 per waiver.

Service and repair up to $500 per year, outside this cap, is permitted for maintenance and repair of prior modifications that were funded by a waiver service.

(If the lifetime cap is fully utilized, and a need is identified, the case manager will work with other available funding streams and community agencies to fulfill the need.)

ACTIVITIES NOT ALLOWED
• Adaptations to the home which are of general utility.
• Adaptations which are not of direct medical or remedial benefit to the participant (such as carpeting, roof repair, central air conditioning).
• Adaptations which add to the total square footage of the home.
• Adaptations that are not included in the PCISP.
• Adaptations that have not been approved on a Request for Approval to Authorize Services.

• Adaptations to service provider owned housing. Home modifications as a service under the waiver may not be furnished to participants who receive residential habilitation and support services except when such services are furnished in the participant's own home.
• Compensation for the costs of life safety code modifications and other accessibility modifications may not be made with participant waiver funds to housing owned by providers.
• This service must not be used for living arrangements that are owned or leased by providers of waiver services.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☐ **Relative**

☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Qualified contractors, architects, licensed contractors, builders, individuals, home inspectors, plumbers, licensed PT, OT, ST - Individual
Agency	FSSA/ DDRS Approved Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Home Modifications

Provider Category:

Individual

Provider Type:

Qualified contractors, architects, licensed contractors, builders, individuals, home inspectors, plumbers, licensed PT, OT, ST - Individual

Provider Qualifications

License *(specify):*

Home Inspector IC 25-20.2
Plumber IC 25-28.5
Physical Therapist IC 25-27-1
Occupational Therapist IC 25-23.5
Speech/Language Therapist IC 25-35.6

Certificate *(specify):*

Architect IC 25-4-1

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12 Insurance,
460 IAC 6-11 Financial Status of Providers, and
460 IAC 6-5-11 Environmental Modification Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS

BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana-specific licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS.

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Home Modifications

Provider Category:

Agency

Provider Type:

FSSA/ DDRS Approved Agencies

Provider Qualifications

License *(specify):*

Home Health Agencies IC 16-27-1
Service provided by Licensed OT (IC 25-23.5), PT (IC 25-27-1), ST (IC 25-35.6)

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-11 Environmental Modification Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana-specific licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Intensive Behavioral Intervention

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
10 Other Mental Health and Behavioral Services	10040 behavior support
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Intensive behavioral intervention (IBI) services focus on developing effective behavior management strategies for participants whose challenging behavioral issues put them at risk of placement in a more restrictive residential setting. IBI services teach the participant, families and other caregivers how to respond to and deal with intense and challenging behaviors. IBI services are designed to reduce a participant's behaviors and improve independence and inclusion in the community. The need for IBI services is determined by a functional and behavioral needs assessment of the participant. IBI services are specified in the PCISP.

• A detailed functional/behavioral assessment;
• Reinforcement;
• Specific and ongoing objective measurement of progress;
• Family training and involvement so that skills can be generalized and communication promoted;
• Emphasis on the acquisition, generalization and maintenance of new behaviors across other environments and other people;
• Training of caregivers, IBI direct care staff, and providers of other waiver services;
• Breaking down targeted skills into small, manageable and attainable steps for behavior change;
• Utilizing systematic instruction, comprehensible structure and high consistency in all areas of programming;
• Provision for one-on-one structured therapy;
• Treatment approach tailored to address the specific needs of the participant.

Skills training under IBI must include:

• Measurable goals and objectives (specific targets may include appropriate social interaction, negative or problem behavior, communication skills, and/or language skills);

• Heavy emphasis on skills that are prerequisites to language (attention, cooperation, imitation).

REIMBURSABLE ACTIVITIES:

• Preparation of an IBI support plan
• Application of a combination of the following empirically-based, multi-modal and multidisciplinary comprehensive treatment approaches:
- Intensive Teaching Trials (ITT), also called Discrete Trial Training, is a highly specific and structured teaching approach that uses empirically validated behavior change procedures. This type of learning is instructor driven, and may use error correction procedures or reinforcement to maintain motivation and attention to task. ITT consists of the following:
(a) Antecedent: a directive or request for the participant to perform an action;
(b) Behavior: a response from the participant, including anything from successful performance, non-compliance, to no response;
(c) Consequence: a reaction from the therapist, including a range of responses from strong positive reinforcement, faint praise, or a negative (not aversive) reaction; and
(d) A pause to separate trials from each other (inter-trial interval).
- Natural Environment Training (NET) is learner directed training in which the learner engages in activities that are naturally motivating and reinforcing to him or her, rather than the more contrived reinforcement employed in ITT.
- Interventions that are supported by research in behavior analysis and which have been found to be effective in the treatment of participants with developmental disabilities which may include but are not limited to:
• Precision teaching: A type of programmed instruction that focuses heavily on frequency as its main datum. It is a precise and systematic method of evaluating instructional tactics. The program emphasizes learner fluency and data analysis is regularly reviewed to determine fluency and learning.
• Direct instruction: A general term for the explicit teaching of a skill-set. The learner is usually provided with some element of frontal instruction of a concept or skill lesson followed by specific instruction on identified skills. Learner progress is regularly assessed and data analyzed.
• Pivotal response training: This training identifies certain behaviors that are pivotal (i.e., critical for learning other behaviors). The therapist focuses on these behaviors in order to change other behaviors that depend on them.
- Errorless teaching or other prompting procedures that have been found to support successful intervention. These procedures focus on the prevention of errors or incorrect responses while also monitoring when to fade the prompts to allow the learner to demonstrate ongoing and successful completion of the desired activity.
- Additional methods that occur and are empirically-based.
• Specific and ongoing objective measurement of progress, with success closely monitored via detailed data collection.

Note: An appropriate range of hours per week is generally between 20-30 hours of direct service. It is recommended that Intensive Behavioral Intervention Services be delivered a minimum of 20 hours per week. When fewer than 20 hours per week will be delivered, justification must be submitted explaining why the IST feels a number fewer than the recommended minimum is acceptable. A detailed IBI support plan is required. Services are usually direct and one-to-one, with the exception of time spent in training the caregiver(s) and the family; ongoing data collection and analysis; goal and plan revisions.

The services under Intensive Behavioral Intervention are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

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

If participants under age 21 choose to utilize IBI-type services they should access equivalent service such as Applied Behavior Analysis (ABA) under EPSDT.

Activities Not Allowed:

• Aversive techniques
• Interventions that may reinforce negative behavior, such as Gentle Teaching
• Group activities
• Services furnished to a minor by a parent(s), step-parent(s), or legal guardian
• Services furnished to a participant by the participants spouse
• Therapy services furnished to the participant within the educational/school setting or as a component of the participants school day

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS Approved Intensive Behavioral Intervention - Individual
Agency	FSSA/DDRS Approved Intensive Behavioral Intervention Agency

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Intensive Behavioral Intervention

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Intensive Behavioral Intervention - Individual

Provider Qualifications

License *(specify):*

For IBI Director:

Psychologist licensed under IC 25-33, or
Psychiatrist Licensed under IC 25-22.5

Certificate *(specify):*

For IBI Case Supervisor:

IBI Case Supervisor must be a Board Certified Behavior Analyst (BCBA) or Board Certified Assistant Behavior Analyst (BCABA)

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Intensive Behavioral Intervention

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Intensive Behavioral Intervention Agency

Provider Qualifications

License *(specify):*

For IBI Director:

Psychologist licensed under IC 25-33, or
Psychiatrist licensed under IC 25-22.5

Certificate *(specify):*

For IBI Case Supervisor:

IBI Case Supervisor must be BCBA or BCABA certified

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Music Therapy

HCBS Taxonomy:

Category 1:	Sub-Category 1:
11 Other Health and Therapeutic Services	11130 other therapies
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Music therapy is service provided for the systematic application of music in the treatment of the physiological and psychosocial aspects of an participant's disability and focusing on the acquisition of nonmusical skills and behaviors.

REIMBURSABLE ACTIVITIES:

• Therapy to improve:
-Self-image and body awareness
-Fine and gross motor skills
-Auditory perception

• Therapy to increase:
-Communication skills
-Ability to use energy purposefully
-Interaction with peers and others
-Attending behavior
-Independence and self-direction

• Therapy to prevent or reduce the likelihood of certain behaviors that interrupt or interfere with a participant's daily life.

• Therapy to enhance emotional expression and adjustment.

• Therapy to stimulate creativity and imagination. The music therapist may provide services directly or may demonstrate techniques to other service personnel or family members.

• Planning, reporting and write-up when in association with the actual one-on-one direct care/therapy service delivery with

the waiver participant.

• Individual

• Group services in group sizes no greater than four (4) participants to one (1) Music Therapist (Unit rate divided by number of Music Therapy participants served).

One (1) hour of billed therapy service must include a minimum of forty-five (45) minutes of direct patient care/therapy with the balance of the hour spent in related patient services.

The services under Music Therapy are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

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

ACTIVITIES NOT ALLOWED

• Any services that are reimbursable through the Medicaid State plan.
• Therapy services furnished to the participant within the educational/school setting or as a component of the participant's school day.
• Specialized equipment needed for the provision of Music Therapy Services should be purchased under "Specialized Medical Equipment and Supplies."
• Activities delivered in a nursing facility.
• Group sizes greater than four (4) participants to one (1) Music Therapist or group sizes exceeding the maximum allowable group size determined by the IST for each group participant.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Agency that Employs FSSA/DDRS Approved Music Therapist
Individual	FSSA/DDRS Approved Music Therapist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Music Therapy

Provider Category:

Agency

Provider Type:

Agency that Employs FSSA/DDRS Approved Music Therapist

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Certified Music Therapist by a Certification Board for Music Therapists that is Accredited by a National Commission for Certifying Agencies.

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-15 Music Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Music Therapy

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Music Therapist

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Certified Music Therapist by a Certification Board for Music Therapists, that is Accredited by a National Commission for Certifying Agencies

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-15 Music Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Personal Emergency Response System

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
14 Equipment, Technology, and Modifications	14010 personal emergency response system (PERS)
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

PERS is an electronic device that enables participants to secure help in an emergency. The participant may also wear a portable “help” button to allow for mobility. The system is connected to the participant’s phone and programmed to signal a response center once a “help” button is activated. The response center is staffed by trained professionals.

REIMBURSABLE ACTIVITIES:
• PERS is limited to those participants 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 support.

• Device installation service.
• Ongoing monthly maintenance of device.

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

ACTIVITIES NOT ALLOWED

• Reimbursement is not available for PERS when the participant requires constant support to maintain health and safety.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Personal Emergency Response System Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Personal Emergency Response System

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Personal Emergency Response System Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-18 Personal Emergency Response System Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Recreational Therapy

HCBS Taxonomy:

Category 1:	Sub-Category 1:
11 Other Health and Therapeutic Services	11130 other therapies
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Recreational therapy services are a medically approved recreational program to restore, remediate, or rehabilitate a participant in order to:
(1) Improve the participant’s functioning and independence; and
(2) Reduce or eliminate the effects of a participant’s disability.

REIMBURSABLE ACTIVITIES:
• Organizing and directing adapted sports, dramatics, arts and crafts, social activities, and other recreation services designed to restore, remediate or rehabilitate.
• Planning, reporting and write-up when in association with the actual one-on-one direct care/therapy service delivery with

the waiver participant.
• Individual services.
• Group services in group sizes no greater than four (4) participants to one (1) Recreational Therapist (Unit rate divided by number of Recreational Therapy participants served).

One (1) hour of billed therapy service must include a minimum of forty-five (45) minutes of direct patient care/therapy with the balance of the hour spent in related patient services.

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

ACTIVITIES NOT ALLOWED

• Payment for the cost of the recreational activities, registrations, memberships or admission fees associated with the activities being planned, organized or directed.
• Any services that are reimbursable through the Medicaid State plan.
• Therapy services furnished to the participant within the educational/school setting or as a component of the participant's school day.
• Activities delivered in a nursing facility.
• Group sizes greater than four (4) participants to one (1) Recreational Therapist or group sizes exceeding the maximum allowable group size determined by the IST for each group participant.
• Group services when group settings were not determined to be appropriate by the IST for each group participant.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Agency that Employs Approved Recreational Therapists
Individual	FSSA/DDRS Approved Recreational Therapist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Recreational Therapy

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Agency that Employs Approved Recreational Therapists

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-22 Recreational Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Recreational Therapy

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Recreational Therapist

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider

Must be FSSA/DDRS-approved

Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-22 Recreational Therapy Services Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Remote Supports

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08010 home-based habilitation
Category 2:	**Sub-Category 2:**
17 Other Services	17990 other
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Remote supports includes a wide range of technology-based services that allows for trained remote support professionals (RSPs) to deliver live support to an individual at a remote location in place of onsite staffing. Remote Supports are delivered by awake, alert remote support professionals whose primary duties are to provide remote supports from the provider's secure remote supports location. Remote supports include the provision of oversight and monitoring within the residential setting of adult waiver participants and individuals 14 to 17 years of age through the use of technology, two-way communication systems and sensors. For minors, remote supports are used to foster developmentally appropriate independence and not to replace typical parental supervision.

Remote support services foster independence and security by combining technology and service to allow for direct contact with trained staff when the individual needs. Remote supports provide a realistic, non-invasive way for individuals to build life skills and familiarity in their level of independence with a sense of security. Remote supports can assist individuals to live more independently or support a safe transition to independent living while enhancing their self-advocacy skills and increase opportunities for participating in the community.

Remote Supports can be provided one-on-one or as a group service.Remote Supports may be used with either paid or unpaid backup support as specified in the individual's service plan. Backup support is when a trained person is responsible for

responding in-person/on-site in the event of an emergency or when an individual receiving remote supports otherwise needs assistance or the equipment used for delivery of remote supports stops working for any reason. Paid backup support is provided on a paid basis by a provider of residential habilitation that is both the primary point of contact for the Remote Support vendor and the entity to send paid staff person(s) on-site when needed. Unpaid backup support may be provided by a family member, friend, or other person who the individual chooses.

The person-centered individualized support plan will reflect how the remote supports are being used to meet the individual's needs, vision for their good life, and health and welfare needs.

REIMBURSABLE ACTIVITIES:
- Monitoring, oversight and support by the remote support professional.
- Initial and ongoing training, education, and technical assistance of paid and unpaid back up support intervention to prepare for prompt engagement with the individual(s) and/or immediate deployment to the residential setting
- Updates of remote support equipment and technology when the equipment and technology require regular information technology supports.
- Installation of remote supports equipment and technology is allowable in the residential or family home settings or unpaid back up support person location when necessary to provide remote support services in place of onsite staffing.
- When all service standards are met, the service provider shall be reimbursed at the full unit rate for each hour that the remote supports service is rendered.

The unit rate for each hour of remote supports service utilization shall be divided by and among the number of waiver participants present in the home during any portion of the hour for which reimbursement is requested. Dividing the unit rate by and among waiver individuals applies only to individuals for whom remote supports are included on the plan.

Informed consent: Informed consent by the individual using the service, their guardian and other individuals and their guardians residing in the home must be obtained and clearly state the parameters in which the remote support service would be used.

Each individual, guardian, and IST must be made aware of both the benefits and risks of the operating parameters and limitations. Through an assessment by the remote support provider with input from the individual and their IST the location of the devices or monitors will be determined to best meet the individual's needs.

The person-centered individualized support plan will reflect the individual's control and use of the equipment. The individual must be informed by the remote support provider on the operation and use of the equipment.

Informed consent documents must be acknowledged in writing, signed and dated by the individual, guardian, case manager, and provider agency representative, as appropriate. A copy of the consent shall be maintained by the local DDRS/BDS office, the guardian (if applicable), and in the home file. If the individual desires to withdraw consent, he or she would notify the case manager. As informed consent is a prerequisite for utilization of remote supports services, a meeting of the IST would be needed to discuss available options for any necessary alternate supports. All residing adult and youth participants, their guardians and their support teams impacted by the decision to withdraw consent must be immediately informed of the decision and use of remote supports in the setting must be discontinued. PCISPs should reflect how individuals want to inform visitors of the use of remote supports in the setting if video monitoring is being utilized under this service. Use of the system may be restricted to certain hours through the PCISPs of the individuals involved.

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

ACTIVITIES NOT ALLOWED:

- Remote supports may not be used concurrently with structured family caregiving service or in the structured family caregiving home.
- Remote supports systems intended to monitor direct care staff.
- Remote Supports serves as a replacement for residential habilitation and support (RHS) Level 1 and Level 2 services; therefore, remote supports and RHS services are not billable during the same time period. However, remote supports are an allowable component of the "RHS daily" service but may not be billed in addition to the daily rate of the RHS daily service.

- Remote supports systems in ICFs/IID licensed under IC 16-28 and 410 IAC 16.2.
- Remote supports systems used in place of in-home staff.
- Cameras are not permitted in bathrooms or bedrooms.
- Installation costs related to video and/or audio equipment.
- Services furnished to a minor by a parent(s), stepparent(s), or legal guardian.

• Services furnished to the individual by the individual's spouse.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Remote Support

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Remote Supports

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Remote Support

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

To be approved to provide remote supports services, a provider shall:

• Be an entity approved by FSSA/DDRS/BDS to provide remote supports services
• Assure that the system must be monitored by a staff person trained and oriented to the specific needs of each individual served as outlined in his or her PCISP.
• Assure that the paid support staff meet the qualifications for direct support professionals as set out in DDRS BDS policy on requirements and training for direct support professional staff.
- If the backup support is unpaid, natural supports such as family, a guardian or a person the individual chooses; the need for backup support to meet qualifications for direct support professionals would not be applicable.
• Assure that the individual, family, guardian, team, and backup provider, if applicable, are trained on the use of Remote Supports equipment.

-Enrolled as an active Medicaid provider
-Must be FSSA/DDRS-approved
-Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:

• 460 IAC 6-10-5 Documentation of Criminal Histories,
• 460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
• 460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,

-Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including

FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

To ensure safety and HIPAA compliance, the provider of remote support services must comply with all state privacy, security, and electric data interchange regulations and have appropriate, stable, and redundant connections. This should include, but is not limited to, backup generators, multiple internet service connections, battery backups, etc.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Residential Habilitation and Support - Daily (RHS Daily)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
02 Round-the-Clock Services	02031 in-home residential habilitation
Category 2:	**Sub-Category 2:**
08 Home-Based Services	08010 home-based habilitation
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Residential habilitation and support – daily (RHS daily) services means individually tailored supports that are specified in the PCISP that assist with the acquisition, retention, or improvement in skills related to living in the community. These supports include adaptive skill development, assistance with activities of daily living, community inclusion, transportation, adult educational supports, and social and leisure skill development that support the participant to live successfully in his or her own home.

HCBS provided during an acute care hospitalization assists the individual to maintain current levels of functioning and support, provides ongoing coordination of care, assurance that new or additional needs are identified and addressed by the person-centered planning team as the individual prepares to return to the community.

The HCBS provided in an acute care hospital must not be duplicative of services available in the acute care hospital setting.

A relative of the participant may be a provider of residential habilitation and support- daily services. The decision that a relative is the best choice of persons to provide these services is a part of the person-centered planning process and is documented in the PCISP. When the provider is a relative, there is an annual review by the IST to determine whether the participant's relative should continue to be the provider of residential habilitation and support – daily services.

INDIVIDUALS ELIGIBLE FOR RHS DAILY SERVICES
Participants who choose RHS daily services and meet all of the following criteria are eligible for and may choose to utilize RHS daily services:
• Participants who have an ALGO score of 3, 4, or 5 on their Objective Based Allocation (OBA).
• Participants who are living with housemates and are utilizing a shared staffing model.
• Participants who are living outside of their family home.

Algo Score Descriptors/ICAP/OBA
The following descriptors appear in 460 IAC 13-5-1 Algo levels

Level: 0 (low)
Descriptor: Participants with Algo score of zero (0):
(A) High level of independence with few supports needed;
(B) No significant behavioral issues; and
(C) Requires minimal residential habilitation services.

Level: 1(Basic)
Descriptor: Participants with Algo score of one (1):
(A) Moderately high level of independence with few supports needed;
(B) Behavioral needs, if any, can be met with medication or informal direction by caregivers through the Medicaid state plan services; and
(C) Likely a need for day programming and light residential habilitation services to assist with certain tasks, but the participant can be unsupervised for much of the day and night.

Level: 2 (Regular)
Descriptor: Participants with Algo score of two (2):
(A) Moderate level of independence with frequent supports needed;
(B) Behavioral needs, if any, can be met with medication or light therapy, or both, every one (1) to two (2) weeks;
(C) Does not require twenty-four (24) hours a day support; and
(D) Generally able to sleep unsupervised, but needs structure and routine throughout the day.

Level: 3 (Moderate)
Descriptor: Participants with Algo score of three (3):
(A) Requires access to full-time support for medical or behavioral, or both, needs;
(B) Twenty-four (24) hours a day, seven (7) days a week staff availability;
(C) Behavioral and medical supports are not generally intense; and
(D) Behavioral and medical supports can be provided in a shared staff setting.

Level: 4 (High)
Descriptor: Participants with Algo score of four (4):
(A) Requires access to full-time support for medical or behavioral, or both, needs:
(i) Twenty-four (24) hours a day, seven (7) days a week frequent staff interaction; and

(ii) Requires line of sight support; and
(B) Has moderately intense needs that can generally be provided in a shared staff setting.

Level: 5 (Intensive)
Descriptor: Participants with Algo score of five (5):
(A) Requires access to full-time supervision with twenty-four (24) hours a day, seven (7) days a week absolute line of sight support;
(B) Needs are intense;
(C) Needs require the full attention of a caregiver with a one-to-one staff to participant ratio; and
(D) Typically only needed by those with intense behavioral needs, not medical needs alone.

Level: 6 (High Intensive)
Descriptor: Participants with Algo score of six (6):
(A) Requires access to full-time support:
(i) Twenty-four (24) hours a day, seven (7) days a week; and
(ii) More than a one-to-one staff to participant ratio;
(B) Needs are exceptional;
(C) Needs require more than one (1) caregiver exclusively devoted to the participant for at least part of each day; and
(D) Imminent risk of participant harming self or others, or both, without vigilant support.

The nationally recognized Inventory for Client and Agency Planning or ICAP was selected to be the primary tool for participant assessment.

The ICAP assessment determines a participant's level of functioning for broad independence and general maladaptive factors. The ICAP addendum, commonly referred to as the behavior and health factors, determines an individual's level of functioning on behavior and health factors.

These two assessments determine a participant's overall Algo score, which can range from 0-6. Participants with Algo scores between 0 and 6 are considered outliers representing those who are the lowest and the highest on both ends of the functioning spectrum. On review, the State may manually adjust the designation of a participant from an Algo score of 5 to an Algo score of 6. Although this participant continues receiving the Algo 5 budget, their Algo score of 6 indicates a need for additional oversight of the participant.

The stakeholder group designed a grid to build the allocations. The grid was developed with the following tenets playing key roles:
• Focus on daytime programming
• Employment
• Community integration
• Housemates

The OBA is then determined by combining the overall Algo score (determined by the ICAP and ICAP addendum), age, employment, and living arrangement.

REIMBURSABLE ACTIVITIES
• Assistance with acquiring, enhancing and building natural supports. For example, a measureable outcome would be increased hours of natural supports and a decrease in the number of hours needed for paid staff. Another measurable outcome would be the number of activities a participant participates in with nonpaid (natural support) supports versus paid staff.
• Working with the participant to meet the goals they have set for themselves on their PCISP.
• Training the participant to enhance their home-making skills; meal preparation; household chores; money management; shopping; communication skills; social skills and positive behavior.
• Provision of transportation to fully participate in social and recreational activities in the community. For example, transportation to church, the park, the library, the YMCA, classes.
• Provision of transportation to community employment and/or volunteer activities.
• Coordination and facilitation of medical and wellness services to meet the healthcare and wellness needs, including physician consults, medications, implementation of risk plans, dining
plans and wellness plans.

Maintenance of each participant's health record.
• Remote support services.

**When wellness coordination services are utilized in addition to RHS services, the Wellness Coordinator who must be an RN/LPN is responsible for the development, oversight and maintenance of a wellness coordination plan as well the development, oversight and maintenance of the health-related risk plan, noting that a Comprehensive Medical Risk Plan may substitute for the Wellness Coordination Plan or individual risk plans.

The RN/LPN determines the appropriate mode of training to be used for the Direct Support Professional to ensure implementation of risk plans, noting that training may be by staff trained by the RN/LPN with the exception of nursing delegated tasks or other items the nurse feels that only a licensed nurse should train.

Additionally, the RN/LPN ensures completion of training of the Direct Support Professional to ensure implementation of risk plans.

As authorized under §3715 of the CARES Act, RHS Daily services may be provided to an individual in an acute care hospital when such services are:

- Identified in an individual's person-centered service plan (or comparable plan of care);
- Provided to meet needs of the individual that are not met through the provision of hospital services;
- Not a substitute for services that the hospital is obligated to provide through its conditions of participation or under Federal or State law, or under another applicable requirement; and
- Designed to ensure smooth transitions between acute care settings and home and community-based settings, and to preserve the individual's functional abilities.

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

The participant must be present and receive RHS daily services for at least a portion of any day the provider bills as a day of RHS daily service.

LIMITATIONS

• Reimbursable waiver funded Residential Habilitation services furnished to an adult waiver participant by a paid relative and/or legal guardian(s) may not exceed a total of 40 hours per week per paid relative and/or legal guardian. (Definition of a relative follows the below Activities Not Allowed)
• Providers may not bill for RHS Daily reimbursement for time when staff/paid caregiver is asleep. Only awake, engaged staff can be counted in reimbursement.
• Providers will not be reimbursed separately for remote support services for participants receiving RHS daily services. Remote support is built into the daily of RHS daily services. Providers must adhere to all remote support service standards as defined within the remote support service definition.

ACTIVITIES NOT ALLOWED
Reimbursement is not available through RHS daily in the following circumstances:
• Services furnished to a minor by the parent(s), step-parent(s), or legal guardian.
• Services furnished to a participant by the participant's spouse.
• Services to participants in Structured Family Caregiving services.
• Services that are available under the Medicaid State plan.

Related/relative implies any of the following natural, adoptive and/or step relationships, whether by blood or by marriage, inclusive of half and/or in-law status:
1) Aunt (natural, step, adopted)
2) Brother (natural, step, half, adopted, in-law)
3) Child (natural, step, adopted)
4) First cousin (natural, step, adopted)
5) Grandchild (natural, step, adopted)
6) Grandparent (natural, step, adopted)
7) Niece (natural, step, adopted)
8) Nephew (natural, step, adopted)
9) Parent (natural, step, adopted, in-law)
10) Sister (natural, step, half, adopted, in-law)
11) Spouse (husband or wife)

12) Uncle (natural, step, adopted)

NOTE: Per Indiana Code [IC 12-11-1.1], supported living service arrangements providing residential services may not serve more than four (4) unrelated participants in any one (1) setting. However, a program that was in existence on January 1, 2013, as a supervised group living program described within IC 12-11-1.1 and having more than four (4) participants residing as part of that program, was allowed to convert to a supported living service arrangement and continue to provide services to up to the same number of participants in the supported living setting.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS Approved RHS Individuals
Agency	FSSA/DDRS Approved RHS Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Residential Habilitation and Support - Daily (RHS Daily)

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved RHS Individuals

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-5-24 Residential Habilitation and Support Services Provider Qualifications,
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications,
460 IAC 6-14-4 Training,
460 IAC 6-5-30 Transportation Services Provider Qualifications, and
460 IAC 6-5-31 Transportation Supports Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

The bureau shall ensure that an entity approved to provide residential habilitation and support services under home and community based services waivers is accredited by an approved national accrediting body. However, if an entity is accredited to provide home and community based services under subdivision (1) other than residential habilitation and support services, the bureau may extend the time that the entity has to comply with this subdivision until the earlier of the following:
(A) The completion of the entity's next scheduled accreditation survey.
(B) July 1, 2015.

o In accordance with the above citation from Indiana Code [IC 12-11-1.1-1], RHS providers must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The ISO-9001 human services QA system.
(5) The Council on Accreditation, or its successor.
(6) An independent national accreditation organization approved by the secretary.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Residential Habilitation and Support - Daily (RHS Daily)

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved RHS Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-5-24 Residential Habilitation and Support Services Provider Qualifications,
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications,
460 IAC 6-14-4 Training,
460 IAC 6-5-30 Transportation Services Provider Qualifications, and
460 IAC 6-5-31 Transportation Supports Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS

BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

The bureau shall ensure that an entity approved to provide residential habilitation and support services under home and community based services waivers is accredited by an approved national accrediting body. However, if an entity is accredited to provide home and community based services under subdivision (1) other than residential habilitation and support services, the bureau may extend the time that the entity has to comply with this subdivision until the earlier of the following:
(A) The completion of the entity's next scheduled accreditation survey.
(B) July 1, 2015.

o In accordance with the above citation from Indiana Code [IC 12-11-1.1-1], RHS providers must obtain/maintain accreditation (specific to Indiana programs) by at least one (1) of the following organizations:
(1) The Commission on Accreditation of Rehabilitation Facilities (CARF), or its successor.
(2) The Council on Quality and Leadership In Supports for People with Disabilities, or its successor.
(3) The Joint Commission on Accreditation of Healthcare Organizations (JCAHO), or its successor.
(4) The ISO-9001 human services QA system.
(5) The Council on Accreditation, or its successor.
(6) An independent national accreditation organization approved by the secretary.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Specialized Medical Equipment and Supplies

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	14031 equipment and technology
Category 2:	**Sub-Category 2:**
17 Other Services	17020 interpreter
Category 3:	**Sub-Category 3:**

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

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

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

Service Definition *(Scope):*

Specialized medical equipment and supplies include:

a) devices, controls, or appliances, specified in the PCISP that enable participants to increase their ability to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live.
b) Items necessary for life support or to address physical conditions along with ancillary supplies and equipment necessary to the proper functioning of such items.
c) Other durable and non-durable medical equipment not available under the State plan that is necessary to address participant functional limitations.

DDRS' waiver services staff must approve all specialized medical equipment and supplies prior to service being rendered.

REIMBURSABLE ACTIVITIES:

- Items necessary for life support.
- Adaptive equipment and supplies.
- Ancillary supplies and equipment needed for the proper functioning of specialized medical equipment and supplies.
- Durable medical equipment not available under Medicaid State plan.
- Non-durable medical equipment not available under Medicaid State plan.
- Communications devices.
- Interpreter services or equipment necessary to access and participate in the home and community that are not otherwise provided as a reasonable accommodation per state and federal law.

Service Standards

The following service standards apply to specialized medical equipment and supplies:
- Equipment and supplies must be of direct medical or remedial benefit to the individual.
- All items shall meet applicable standards of manufacture, design, and installation.
- Any individual item costing more than $500 requires an evaluation by a qualified professional such as a physician, nurse, occupational therapist, physical therapist, speech and language therapist, or rehabilitation engineer.
- Annual maintenance service is available and is limited to $500 per year. If the need for maintenance exceeds $500, the case manager will work with other available funding streams and community agencies to fulfill the need.

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

The following are limitations on specialized medical equipment and supplies services:
- Service and repair up to $500 per year are permitted for maintenance and repair of previously obtained specialized medical equipment that was funded by a HCBS waiver. If the need for maintenance exceeds $500, the case manager will work with other available funding streams and community agencies to fulfill the need.

ACTIVITIES NOT ALLOWED
- Equipment and services that are available under the Medicaid State Plan.
- Equipment and services that are not of direct medical or remedial benefit to the individual.
- Equipment and services that are not reflected in the PCISP .
- Equipment and services that have not been approved on a Request for Approval to Authorize services (RFA).
- Equipment and services that do not address needs identified in the person-centered planning process.

The services under the Community Integration and Habilitation waiver are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Licensed Physical Therapist
Individual	Licensed/Certified Occupational Therapist
Agency	FSSA/DDRS Approved Medical Supply Companies, Pharmacies, Electronics/Computer Companies, Electronics Vendors
Individual	Licensed Speech/Language Therapist
Agency	Home Health Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Individual

Provider Type:

Licensed Physical Therapist

Provider Qualifications

License *(specify):*

IC 25-27-1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers
460 IAC 6-5-27 Specialized Medical Equipment and Supplies Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Physical Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Individual

Provider Type:

Licensed/Certified Occupational Therapist

Provider Qualifications

License *(specify):*

IC 25-23.5 Licensure and Certification requirements

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers
460 IAC 6-5-27 Specialized Medical Equipment and Supplies Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Occupational Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Medical Supply Companies, Pharmacies, Electronics/Computer Companies, Electronics Vendors

Provider Qualifications

License *(specify):*

IC 25-26-13-18 Pharmacy (as applicable)

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-27 Specialized Medical Equipment and Supplies Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Individual

Provider Type:

Licensed Speech/Language Therapist

Provider Qualifications

License *(specify):*

IC 25-35.6

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers
460 IAC 6-5-27 Specialized Medical Equipment and Supplies Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Speech/Language Therapists rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Agency

Provider Type:

Home Health Agencies

Provider Qualifications

License *(specify):*

IC 16-27-1

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-27 Specialized Medical Equipment and Supplies Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Structured Family Caregiving (previously known as Adult Foster Care)

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
02 Round-the-Clock Services	02031 in-home residential habilitation
Category 2:	**Sub-Category 2:**
02 Round-the-Clock Services	02023 shared living, other
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Structured family caregiving (previously known as adult foster care) means a living arrangement in which a participant lives in the private home of a principal caregiver who may be a non-family member (foster care) or a family member who is not the participant's spouse, the parent of the participant who is a minor, or the legal guardian of the minor participant.

Necessary support services are provided by the principal caregiver (family caregiver) as part of structured family caregiving. Only agencies may be structured family caregiving providers, with the structured family caregiving settings being approved, supervised, trained, and paid by the approved agency provider. The provider agency must conduct two visits per month to the home - one by a registered nurse or licensed practical nurse and one by a structured family caregiving home manager. The provider agency must keep daily notes that can be accessed by the State. Separate payment will not be made for homemaker or chore services furnished to an participant receiving structured family caregiving, since these services are integral to and inherent in the provision of structured family caregiving services.

SERVICE LEVELS AND RATES

There are three service levels of structured family caregiving , each with a unique rate. The Algo score assigned to the participant determines the appropriate level of structured family caregiving service and reimbursement to be utilized in the PCISP at the participant's next annual anniversary date.
• Level 1 - Appropriate for participants choosing structured family caregiving and having an Algo score of 0 or 1.
• Level 2 - Appropriate for participants choosing structured family caregiving and having an Algo score of 2.
• Level 3 - Appropriate for participants choosing structured family caregiving and having an Algo score of 3, 4, 5 or 6.

REIMBURSABLE ACTIVITIES
• Personal care and services.

• Homemaker or chore services.
• Attendant care and companion care services.
• Medication oversight.
• Support by a substitute caregiver who has met all principal caregiver qualifications.
• Transporting the participant when indicated in the PCISP. When provided, such transportation is incidental and not duplicative of any other State Plan or waiver service.
• Other appropriate supports as described in the PCISP.

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

Activities Not Allowed

• Services provided by a caregiver who is the spouse of the participant or the parent of the minor participant.
• The service of residential habilitation and supports is not available to participants receiving the service of Structured family caregiving services.
• Transportation services through the waiver may not be used in conjunction with structured family caregiving services.
• The limit is a maximum of four waiver participants per structured family caregiving household.
• Respite services through this waiver may not be used in conjunction with structured family caregiving services.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Structured Family Caregiving Agencies (previously knowns as AFC Agencies)

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Structured Family Caregiving (previously known as Adult Foster Care)

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Structured Family Caregiving Agencies (previously knowns as AFC Agencies)

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,

460 IAC 6-5-3 Adult Foster Care Services Provider Qualifications,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Transportation

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
15 Non-Medical Transportation	15010 non-medical transportation
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

- (●) **Service is included in approved waiver. There is no change in service specifications.**
- ( ) **Service is included in approved waiver. The service specifications have been modified.**

○ **Service is not included in the approved waiver.**

Service Definition *(Scope):*

Transportation services are services to transfer participants in a vehicle from the point of pick-up to a destination point. Transportation services enable participants to access non-medical community services, resources/destinations, or places of employment, as well as maintain or improve their mobility within the community, increase independence and community participation and prevent institutionalization as specified by the PCISP.

Depending upon the needs of the participant, there are three levels of transportation. The level of transportation service needed must be documented in the PCISP.

• Level 1: Transportation in a private, commercial, or public transit vehicle that is not specially equipped.
• Level 2: Transportation in a private, commercial, or public transit vehicle specially designed to accommodate wheelchairs.
• Level 3: Transportation in a vehicle specially designed to accommodate a participant who for medical reasons must remain prone during transportation (e.g., ambulette).

REIMBURSABLE ACTIVITIES

• Two one-way trips per day to or from a non-medical community service or resource as specified on the PCISP and provided by an approved provider of residential habilitation and support, day habilitation, adult day services or transportation services.
• Bus passes or alternate methods of transportation may be utilized for Level 1 or Level 2. Bus passes may be purchased on a monthly basis or on a per-ride basis, whichever is most cost
effective in meeting the participant's transportation needs as outlined in the PCISP.
• May be used in conjunction with other services, including day habilitation and adult day services.

NOTE: Whenever possible, family, neighbors, friends or community agencies, which can provide transportation services without charge will be utilized.

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

Activities Not Allowed

• May not be used to meet medical transportation needs already available under the Indiana Medicaid State Plan.
• May not be used in conjunction with structured family caregiving services.

Annual limits have been added to this non-medical waiver transportation service, the costs of which are paid for outside of in addition to the participants' annual allocation amount that is determined by their Algo score.

Note that no participant is excluded from participating in non-medical waiver transportation services.

The annual limits for each level of non-medical waiver Transportation are:
o $7530 for Level 1 Transportation
o $8255 for Level 2 Transportation
o $8980 for Level 3 Transportation

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Transportation Provider - Agency
Individual	FSSA/DDRS Approved Transportation Provider - Individual

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Transportation

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Transportation Provider - Agency

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-30 Transportation Services Provider Qualifications, 460 IAC 6-5-31 Transportation Supports Provider Qualifications, and 460 IAC 6-34-1 to 460 IAC 6-34-3 Transportation Services,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Transportation

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Transportation Provider - Individual

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-5-30 Transportation Services Provider Qualifications, 460 IAC 6-5-31 Transportation Supports Provider Qualifications, and 460 IAC 6-34-1 to 460 IAC 6-34-3 Transportation Services,
460 IAC 6-14-5 Requirements for Direct Care Staff, and
460 IAC 6-14-4 Training

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Vehicle Modifications

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	14020 home and/or vehicle accessibility adaptations
Category 2:	**Sub-Category 2:**

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

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

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

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

Service Definition *(Scope):*

Vehicle modifications are the addition of adaptive equipment or structural changes to a motor vehicle that will provide the individual with a safe and accessible mode of transportation that increases their ability to access their home and community.

REIMBURSABLE ACTIVITIES

Justification and documentation is required to demonstrate that the modification is necessary in order to meet the individual's identified need(s). The following are allowable under vehicle modifications:
A. Wheelchair lifts;
B. Wheelchair tie-downs (if not included with lift);
C. Wheelchair/scooter hoist;
D. Wheelchair/scooter carrier for roof or back of vehicle;
E. Raised roof and raised door openings;
F. Power transfer seat base;
G. Lowered floor and lowered door openings;
H. Wheelchair ramp for vehicle;
I. Maintenance is limited to $1,000.00 annually for repair and service of items that have been funded through a HCBS waiver. Requests for service must differentiate between parts and labor costs. Pricing must be consistent with the fair market price for such modification(s).
If the need for maintenance exceeds $1,000.00, the case manager will work with other available funding streams and community agencies to fulfill the need. When service costs exceed the annual limit, those parts and labor costs funded through the waiver must be itemized clearly to differentiate the waiver service provision from those parts and labor provided through a non-waiver funding source.
J. Items requested which are not listed above, must be reviewed and a decision rendered by the State division director or State agency designee.

Reimbursement is available for modifications that satisfy each of the following:
• Service and documentation standards outlined within DDRS policy
• Allowable under current Medicaid waiver guideline
• Not available under the Rehabilitation Act of 1973, as amended
• Included in the individual’s approved plan of care
• Authorized on the RFA and linked to the plan of care
• Included on a State-approved and signed NOA
• Completed by an approved Medicaid waiver service provider (that is approved to perform this service)

SERVICE STANDARDS

A. The vehicle to be modified must meet all of the following:
1. The individual or primary caregiver is the titled vehicle owner;
2. The vehicle is registered and/or licensed under state law;
3. The vehicle has appropriate insurance as required by state law;
4. The vehicle is the individual's sole or primary means of transportation;
5. The vehicle is less than 10 years old and has less than 100,000 miles on the odometer
6. The vehicle is not registered to or titled by a Family and Social Services Administration (FSSA) approved provider.

7. Only one vehicle per an individual may be modified;

B. Many automobile manufacturers offer a rebate for individuals purchasing a new vehicle requiring modifications for accessibility. To obtain the rebate the individual is required to submit to the manufacturer documented expenditures of modifications. If the rebate is available, it must be applied to the cost of the modifications.

C. Requests for modifications may be denied if DDRS determines the documentation does not support the service requested.

D. All vehicle modifications must be approved prior to services being rendered.

All vehicle modification shall be authorized only when it is determined to be medically necessary and/or shall have direct medical or remedial benefit for the waiver individual. Requests to upgrade products or to use materials exceeding the individual's basic needs will not be approved.

This determination includes the following considerations:
– The modification is the most cost effective or conservative means to meet the individual's specific need(s).
– The modification is individualized, specific, and consistent with, but not in excess of, the individual's need(s).
– Two modification bids must be obtained for all modifications over $1,000.
– If two bids cannot be obtained, it must be documented to show what efforts were made to secure the two bids and explain why fewer than two bids were obtained (for example, provider name, dates of contact, response received).

DOCUMENTATION STANDARDS

The PCISP must reflect the identified direct benefit or need for VMOD determined to support the individual in accessing their community.

Documentation/explanation within the request for approval to authorize services (RFA) must include:
• the specific modification being requested to the vehicle, including a picture of the modification
• 2 bids if the cost exceeds $1,000.00: The individual chooses which approved/certified providers will submit bids or estimates for this service. The provider with the lowest bid will be chosen, unless there is strong written justification detailing why a provider with a higher bid should be selected.
• Warranty information of the modification
• Copy of the vehicle registration
• Copy of the vehicle insurance

Provider Standards:
• Provider of services must maintain receipts for all incurred expenses related to the modification;
• All bids must be itemized.
• Must be in compliance with FSSA and Division specific guidelines and/or policies.

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

A cap of $15,000.00 is available for one (1) vehicle per every ten (10) year period for an individual's household. In addition to the applicable cap, $1,000.00 will be allowable annually for repair, replacement, or an adjustment to an existing modification that was funded by a Home and Community Based Services (HCBS) waiver.

ACTIVITIES NOT ALLOWED

Examples/descriptions of modifications/items not covered include, but are not limited to the following:
A. Repair or replacement of modified equipment damaged or destroyed in an accident;
B. Alarm systems;
C. Auto loan payments;
D. Insurance coverage;
E. Driver's license, title registration, or license plates;
F. Emergency road service;
G. Routine maintenance and repairs related to the vehicle itself.
H. Specialized Medical Equipment or Home Modification items are not allowed.
I. Leased vehicles

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☐ **Relative**

☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Vehicle Modification Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Vehicle Modifications

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Vehicle Modification Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers
460 IAC 6-5-27 Specialized Medical Equipment and Supplies Supports Provider Qualifications

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Where licensure is required, providers rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Wellness Coordination

HCBS Taxonomy:

Category 1:	Sub-Category 1:
05 Nursing	05020 skilled nursing
Category 2:	**Sub-Category 2:**
11 Other Health and Therapeutic Services	11010 health monitoring
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

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

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

Service Definition *(Scope):*

Wellness coordination services means the development, maintenance and routine monitoring of the participant's wellness coordination plan and the medical services required to manage his/her health care needs. A omprehensive medical risk plan may substitute for the wellness coordination plan or individual risk plans.

Wellness coordination services extend beyond those services provided through routine doctor/health care visits required under the Medicaid State plan and are specifically designed for participants requiring the assistance of an RN/LPN to properly coordinate their medical needs.

Tier I: Health care needs require a face to face visit once a month with an RN/LPN and consultations/reviews based on the participant's current health care needs.
Tier II: Health care needs require a face to face visit twice a month with an RN/LPN and consultations/reviews based on the participant's current health care needs.
Tier III: Health care needs require a face to face visit once a week with an RN/LPN and consultations/reviews based on the participant's current health care needs.

Conditions and Requirements: Necessity for wellness coordination services will typically be reserved for participants

assessed with health scores of 5 or higher through the State's objective based allocation process.

Participants assessed with health scores of 0-4 would not require assistance of an RN/LPN to coordinate medical needs. As medical events occur and/or a participant's medical needs change, the IST is expected to obtain reassessment for potential revision to the health score and to ensure utilization of the appropriate tier of services.

REIMBURSABLE ACTIVITIES:

Coordination of wellness services by the Wellness Coordinator who must be an RN/LPN must include, but is not limited to the following:
• Completion of risk assessment information gathered by the (IST) and documented by the case manager in the PCISP
• Development, oversight and maintenance of a wellness coordination plan, while noting that a comprehensive medical risk plan may substitute for the wellness coordination plan or
individual risk plans.
• Development, oversight and maintenance of the medical risk plan which includes:
- Determination of the appropriate mode of training to be used for the direct support professional to ensure implementation of risk plans, noting that training may be by staff trained
by the RN/LPN with the exception of nursing delegated tasks or other items the nurse feels that only a licensed nurse should train.
- Ensuring the completion of training of direct support professionals to ensure implementation of Risk Plans.
- Consultation with the participant's health care providers.
- Face to face consultations with the participant as described in the support plan based on Tier level.
- Consultation with the IST
- Active involvement at annual team meetings (and any additional team meetings if a participant is having a medical concern or a health and safety issue that the IST needs to
address), reporting on the wellness coordination plan as it relates to the participant's full array of services as listed in the PCISP.

This waiver service is only provided to individuals ages 21 and over. All medically necessary wellness coordination services for children under age 21 are covered in the state plan benefit pursuant to the EPSDT benefit.

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

Activities Not Allowed

Reimbursement for wellness coordination services is not available under the following circumstances:
• The participant does not require wellness coordination services.
• Services furnished to a minor by a parent(s), step-parent(s), or legal guardian.
• Services furnished to a participant by the participant's spouse.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	FSSA/DDRS Approved Wellness Coordination Individuals
Agency	FSSA/DDRS Approved Wellness Coordination Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Wellness Coordination

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Wellness Coordination Individuals

Provider Qualifications

License *(specify):*

Wellness Coordinator must be either a registered nurse (RN) or a licensed practical nurse (LPN) under IC 25-23-1 working under the supervision of an RN

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications

**noting that Wellness Coordination is referred to as Health Care Coordination within 460 IAC 6

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Nurses rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Wellness Coordination

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Wellness Coordination Agencies

Provider Qualifications

License *(specify):*

Wellness Coordinator must be either a registered nurse (RN) or a licensed practical nurse (LPN) under IC 25-23-1 working

under the supervision of an RN

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training
460 IAC 6-5-14 Health Care Coordination Services Provider Qualifications

**noting that Wellness Coordination is referred to as Health Care Coordination within 460 IAC 6

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Nurses rendering waiver funded services must obtain/maintain Indiana licensure.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Workplace Assistance

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08030 personal care
Category 2:	**Sub-Category 2:**
03 Supported Employment	03021 ongoing supported employment, individual

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

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

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

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

Service Definition *(Scope):*

Workplace assistance services provide a range of personal care services and/or supports during paid competitive community employment hours and in a competitive community employment setting to enable waiver participants to accomplish tasks that they would normally do for themselves if they did not have a disability. Assistance may take the form of hands-on assistance (actually performing a personal care task for the participant) or cuing to prompt the participant to perform a personal care task. Workplace assistance services may be provided on an episodic or on a continuous basis.

Workplace assistance services are services that are designed to ensure the health, safety and welfare of the participant, thereby assisting in the retention of paid employment for the participant who is paid at or above the federal minimum wage. Allowed Ratio - Individual, 1:1

REIMBURSABLE ACTIVITIES:

Direct support, monitoring, training, education, demonstration or support to assist with:
• Personal care while on the job or at the job site (may include assistance with meals, hygiene, toileting, transferring, maintaining continence, administration of medication, etc.).

May be used in conjunction with Extended Services.

May be utilized with each hour the participant is engaged in paid competitive community employment.

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

Reimbursement for Workplace Assistance Services is available only during the participant's hours of paid, competitive community employment.

Activities Not Allowed:

Reimbursement is not available through workplace assistance services under the following circumstances:
• When services are furnished to a minor child by the parent(s) or step-parent(s) or legal guardian.
• When services are furnished to a participant by that participant's spouse.
• Any service that is otherwise available under the Rehabilitation Act of 1973 or Public Law 94-142.
• During volunteer activities.
• In a facility setting.
• In conjunction with sheltered employment.
• During activities other than paid competitive community employment.
• Workplace assistance should complement but not duplicate services being provided under Extended Services.
• Workplace assistance is not to be used for observation or support of the participant for the purpose of teaching job tasks or to ascertain the success of the job placement.
• Workplace assistance is not to be used for off-site monitoring when the monitoring directly relates to maintaining a job.
• Workplace assistance is not to be used for the provision of skilled job trainers who accompany the participant for short-term job skill training at the work site to help maintain
employment.
• Workplace assistance is not to be used for regular contact and/or follow-up with the employers, participants, parents, family members, guardians, advocates or authorized
representatives of the participants, or other appropriate professional or informed advisors, in order to reinforce and stabilize

the job placement.
• Workplace assistance is not to be used for the facilitation of natural supports at the work site.
• Workplace assistance is not to be used for participant program development, writing tasks analyses, monthly reviews, termination reviews or behavioral intervention programs.
• Workplace assistance is not to be used for advocating for the participant.
• Workplace assistance is not to be used for staff time in traveling to and from a work site.

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

☐ **Participant-directed as specified in Appendix E**

☒ **Provider managed**

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

☐ **Legally Responsible Person**

☒ **Relative**

☒ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	FSSA/DDRS Approved Workplace Assistance - Agencies
Individual	FSSA/DDRS Approved Workplace Assistance - Individual

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Workplace Assistance

Provider Category:

Agency

Provider Type:

FSSA/DDRS Approved Workplace Assistance - Agencies

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,
460 IAC 6-5-30 Transportation Services Provider Qualifications, and
460 IAC 6-5-31 Transportation Supports Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Workplace Assistance

Provider Category:

Individual

Provider Type:

FSSA/DDRS Approved Workplace Assistance - Individual

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Enrolled as an active Medicaid provider
Must be FSSA/DDRS-approved
Must comply with Indiana Administrative Code, 460 IAC 6, including but not limited to:
460 IAC 6-10-5 Documentation of Criminal Histories,
460 IAC 6-12-1 and 460 IAC 6-12-2 Insurance,
460 IAC 6-11-1 to 460 IAC 6-11-3 Financial Status of Providers,
460 IAC 6-14-5 Requirements for Direct Care Staff,
460 IAC 6-14-4 Training,
460 IAC 6-5-30 Transportation Services Provider Qualifications, and
460 IAC 6-5-31 Transportation Supports Provider Qualifications.

Must comply with any applicable FSSA/BDS service standards, guidelines, policies and/or manuals, including FSSA/DDRS BDS policies and the FSSA/DDRS HCBS Waivers module on the IHCP Provider Reference Materials webpage.

Verification of Provider Qualifications

Entity Responsible for Verification:

BDS

Frequency of Verification:

Up to 3 years.

Appendix C: Participant Services

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

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

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

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

Check each that applies:

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

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

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

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

☐ **As a primary care case management system service under a concurrent managed care authority.** *Complete item C-1-c.*

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

Appendix C: Participant Services

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

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

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

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

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

a) All waiver providers who have direct contact with waiver participants (including every employee, officer, or agent involved in the management, administration or provision of services under the CIH Waiver) must have criminal history checks.

b) Documented proof of the limited criminal history investigation is required with the initial application for approval as a new provider and must be obtained from the Indiana central repository by the prospective provider agency before submitting the prospective provider's application for approval to provide services to the Family and Social Services Administration's (FSSA) Division of Disability and Rehabilitative Services (DDRS) Bureau of Disabilities Services (BDS). The documented proof must be on file at the time of original (initial) provider approval for all current employees.

Criminal history documentation requirements for providers are specified under 460 IAC 6-10-5 General Administrative Requirements for Providers and supported by the DDRS BDS Documentation of Criminal Histories policy. The scope of the limited criminal history check is within the state and shall verify that the employee, officer, or agent has not been convicted of the following under Indiana Code Title 35. Criminal Law and Procedure or Title 31. Family Law and Juvenile Law:
• A sex crime (IC 35-42-4)
• Exploitation of an endangered adult (IC 35-46-1-12)
• Failure to report battery, neglect, or exploitation of an endangered adult (IC 35-46-1-13) or abuse or neglect of a child (IC 31-33-22-1)
• Theft (IC 35-43-4), if the person's conviction for theft occurred less than ten (10) years before the person's employment application date, except as provided in IC 16-27-2-5(a)(5)
• Murder (IC 35-42-1-1)
• Voluntary manslaughter (IC 35-42-1-3)
• Involuntary manslaughter (IC 35-42-1-4)
• Felony battery
• A felony offense relating to a controlled substance

The provider shall also obtain a criminal history check from each county in which an employee, officer or agent involved in the management, administration or provision of services has resided and/or worked within the three (3) years before the criminal history check is requested from the county. If an employee, officer, or agent resides and/or worked in a county that does not offer a criminal history check, the Indiana limited criminal history is sufficient, or providing a current copy of the Mycase record indicating no record. The provider must verify that a county criminal history check or Indiana limited criminal history was completed.

c) FSSA's BDS reviews applications for approval to provide waiver services as submitted by the prospective provider. In the absence of documented proof of the limited criminal history for each employee listed on the provider's organizational chart, the application shall not be approved.

On an ongoing basis, when an allegation of an issue with a criminal background check arises during a complaint investigation or a mortality review. BDS completes a review of the provider's records to ensure that the provider completes a criminal history background check on new hires. BDS does this on a sample basis, sampling a minimum of two staff and a maximum of 20 staff per provider. Sampled staff are randomly chosen from a census list supplied by the provider agency. If the agency cannot provide documentation of conducting this background check they are directed to develop a corrective action plan. Providers are required to develop and implement systemic corrective actions. If an issue does not arise during a complaint investigation or a mortality review, BDS completes a review of the provider's records at least every two years during the provider reverification process.

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

○ **No. The state does not conduct abuse registry screening.**

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

Specify: (a) the entity (entities) responsible for maintaining the abuse registry; (b) the types of positions for which

abuse registry screenings must be conducted; and, (c) the process for ensuring that mandatory screenings have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

a) The State of Indiana has a registry of professional licenses that is available online at https://mylicense.in.gov/eVerification/

b) The FSSA's BDS requires each provider or prospective provider conduct and document the screening against this license verification website.

c) BDS reviews applications for approval to provide waiver services as submitted by the prospective provider. In the absence of the license verification for each direct care staff employed by the provider, the application shall not be approved.

Indiana’s abuse registry is hosted by the Indiana Professional Licensing Agency (IPLA) at https://www.in.gov/pla/ but information is maintained by the Indiana Department of Health (IDOH). If a registered aide has an abuse finding, IDOH places a finding on their certification within https://www.in.gov/health/ltc/aide-training-and-certification/ so the aide will not show up as active on the registry.

Appendix C: Participant Services

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

Note: Required information from this page is contained in response to C-5.

Appendix C: Participant Services

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

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

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

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

- [ ] **Self-directed**
- [ ] **Agency-operated**

e. Other State Policies Concerning Payment for Waiver Services Furnished by Relatives/Legal Guardians. Specify

state policies concerning making payment to relatives/legal guardians for the provision of waiver services over and above the policies addressed in Item C-2-d. *Select one*:

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

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

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

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

In accordance with the federal description, Legally Responsible Individuals (LRIs) include ONLY the parent of a minor child or a spouse of a participant. LRI's DO NOT include the parent of an adult participant (including a parent who also may be a legal guardian) or other types of relatives. Under this definition, the state does not make payments to legally responsible individuals for any waiver services.

Relatives and Legal Guardians may be paid by an FSSA-approved provider agency for the provision of selected services (as specified below in this Appendix C-2-e) ONLY when:
☐ the services are provided in alignment with the waiver service definitions and limitations found in Appendix C of this waiver;
☐ the individual providing such services is qualified to provide such services in alignment with the qualifications found in Appendix C of this waiver; and
☐ the individual providing such services is employed by or contracts with a FSSA-approved agency service provider.

The state will make payment to an FSSA-approved provider agency for the provision of selected services (as specified below in this Appendix C-2-e) allowing the provider to reimburse the following types of relatives (natural, adoptive and/or step relationships, whether by blood or by marriage, inclusive of half and/or in-law status):

• Parent of an Adult (natural, step, adopted, in-law)
• Grandparent (natural, step, adopted)
• Uncle (natural, step, adopted)
• Aunt (natural, step, adopted)
• Brother (natural, step, half, adopted, in-law)
• Sister (natural, step, half, adopted, in-law)
• Child (natural, step, adopted)
• Grandchild (natural, step, adopted)
• Nephew (natural, step, adopted)
• Niece (natural, step, adopted)
• First cousin (natural, step, adopted)

The state allows payment to be made to Relatives (as specified above in this Appendix C-2-e) and Legal Guardians for the provision of the following waiver services:

• Adult Day Services
• Day Habilitation
• Prevocational Services
• Residential Habilitation and Support (Hourly)
• Respite
• Occupational Therapy
• Physical Therapy
• Psychological Therapy
• Speech Language Therapy
• Behavioral Support Services
• Career Exploration and Planning
• Community Transition Service
• Extended Services
• Facility Based Support Services
• Intensive Behavioral Intervention
• Music Therapy
• Personal Emergency Response Systems

• Recreational Therapy
• Remote Supports
• Residential Habilitation and Support – Daily
• Specialized Medical Equipment and Supplies
• Structured Family Caregiving (previously known as Adult Foster Care)
• Transportation
• Wellness Coordination
• Workplace Assistance

When provided by a Relative or Legal Guardian, Residential Habilitation and Support (Hourly and Daily) Services are limited to a maximum of forty (40) hours per week per paid relative and/or legal guardian caregiver.

Relatives and Legal Guardians who receive payment for waiver services (as specified above in this Appendix C-2-e) will be subject to service plan monitoring as described in Appendix D-2-a. These practices will ensure that services delivered will continue to meet the needs and goals as well as the best interest of the participant.

As with all other waiver-funded services, service delivery is authorized via the Service Authorization/Notice of Action (SA/NOA) issued by the state upon approval of the participant's person-centered individualized support plan (PCISP). Providers are required to ensure that waiver services are provided as authorized and to document service delivery, allowing access to that documentation at any time by the state or its agents, including the case manager. As explained in Appendix I-2-d of the waiver application, the state uses a billing validation process to ensure claims are paid only for necessary services that were properly authorized and actually provided to the participant within the authorized timeframe. Billing is subject to audit by the state in look behind efforts of BDS as well as by the FSSA's surveillance and utilization unit.

○ **Other policy.**

Specify:

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

Prospective providers of CIH waiver services may apply to become a provider at any time. The application approval process is managed/performed by Bureau of Disabilities Services (BDS). As applications are received and reviewed by the BDS, the prospective provider is given the opportunity to respond to any questions or additional information requested. The staff is available, upon request, to discuss in person questions regarding the application.

The BDS works with the potential provider to ensure all required documentation is obtained. Once a prospective provider has been determined to have met the relevant provider requirements for the services they propose to provide, the provider is referred to Indiana's Medicaid fiscal agent to enroll as a Medicaid provider. (Medicaid enrollment is required for all waiver service providers.) When the provider is enrolled, BDS is notified and the provider is added to the active provider database.

Under the State's administrative rules, the provider is given 15 calendar days from the date of notice to appeal the application decision. The case would be assigned to the Office of Administrative Law Proceedings for a hearing.

Information regarding the provider approval/enrollment process, provider qualifications required for particular services and other helpful information is also available to prospective services providers on the internet at the DDRS website and by accessing the Indiana Medicaid HCBS Waiver Provider Manual and/or the Bureau of Disabilities Services Provider Services Helpline.

Providers access the Indiana Medicaid (Indiana Health Coverage Programs (IHCP)) HCBS Waiver Provider Manual and/or the BDS Provider Services Helpline electronically. The DDRS HCBS Waiver Provider Manual is posted on the "manuals" link of IHCP website, with a direct link of https://www.in.gov/medicaid/providers/469.htm. The BDS Provider Services Helpline address is BDSProviderServices@fssa.in.gov.

Providers are required to undergo provider reverification by DDRS within twelve (12) months of initial approval and based on accreditation term, every two (2) or four (4) years. The reverification process consists of an annual/biennial review of provider documentation; and, based on the accreditation term, and previous reverification determination term (as applicable), an additional review of the provider's data on incident reports, complaints, mortalities, outstanding corrective action plans, sanctions, as well as any other monitoring data deemed applicable.

Providers are notified by BDS when due for reverification and are required to fully cooperate in the process by submitting all requested forms and participating in discussions as needed as BDS facilitates the process. The Reverification Guide is attached to their notice to aid in successful completion of the review.

Providers are given 30 calendar days after the date notice is issued to electronically submit to BDS all documentation on the Submission Checklist (another attachment provided with the notice).

Once submitted, BDS will review the submitted documents and issue corrective action if an issue is identified. Once all issues have been corrected, BDS issues a reverification determination of the provider's new approval term of either two (2) or four (4) years.

Reverified providers must submit a newly executed signed Provider Agreement to BDS.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. Methods for Discovery: Qualified Providers

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:
C/L.1 Number and percent of newly enrolled licensed/certified waiver providers that met the provider qualifications prior to providing waiver services. Numerator: Number of newly enrolled licensed/certified waiver providers that met the provider qualifications prior to providing waiver services. Denominator: Total number of newly enrolled licensed/certified waiver providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Application Spreadsheet

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

	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
C/L.2 Number and percent of existing enrolled licensed/certified waiver providers that continue to meet provider qualifications. Numerator: Number of existing enrolled licensed/certified waiver providers continuing to meet provider qualifications. Denominator: Number of existing enrolled licensed/certified waiver providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Application Spreadsheet

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**

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

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

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

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

Performance Measure:
C.3 Number and percent of current non-licensed/non-certified (NL/NC) waiver providers reviewed in a waiver year who conduct criminal background checks as required. Numerator: Number of current NL/NC waiver providers reviewed in a waiver year who conduct criminal background checks as required. Denominator: Total number of current NL/NC waiver providers reviewed in a waiver year.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Complaints/Mortality/Provider Reverification

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

Specify:		Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Providers will be reviewed when an allegation is received or once every four years.
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
C.2 Number and percent of existing non-licensed/non-certified (NL/NC) waiver providers that continue to meet provider qualifications. Numerator: Number of

existing NL/NC waiver providers reviewed that continue to meet provider qualifications. Denominator: Total number of existing NL/NC waiver providers reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Reverification Tracking Sheet

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: 100% over a 4 year period
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
C.1 Number and percent of newly enrolled non-licensed/non-certified (NL/NC) waiver providers that met the provider qualifications prior to providing waiver services. Numerator: Number of newly enrolled NL/NC waiver providers that met the provider qualifications prior to providing waiver services. Denominator: Total number of newly enrolled NL/NC waiver providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Gainwell report

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

Specify:		Describe Group:
	☒ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

c. ***Sub-Assurance: The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.***

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

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the

method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
C.5 Number and percent of enrolled case managers who completed required case management training. Numerator: Number of enrolled case managers who completed required case management training. Denominator: Total number of enrolled case managers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Case Management Training Tracking Sheet

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
C.4 Number and percent of current waiver providers who attend state mandated provider training. Numerator: Number of current waiver providers who attend state mandated provider training. Denominator: Total number of current waiver providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Mandated Provider Training Tracking

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

☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information

regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

C.1.: Providers who submit an incomplete, inaccurate, or nonresponsive application are rejected. Note that for provider applications that are substantially complete and responsive, but may need additional information, a “request for information” (RFI) is sent. Providers have 30 calendar days from the date of the RFI to supply the clarifying information or the application is denied. As needed, DDRS will follow up with provider and/or complete application review. Only DDRS approved applications are referred to the Medicaid Agency for final approval.

C.2: To assure existing providers continue to meet provider qualifications, providers undergo a formal service review by DDRS at least every four (4) years.

C.2, C.3, C.4 and C.5: Providers that do not meet state requirements or standards are required to develop CAPs to address issues identified in their compliance reviews. BDS reviews and approves CAPs, and validates that providers are implementing these as stated.

All non-compliant providers are referred to FSSA Administration for review and potential sanctioning, up to and including termination of the provider.

Periodic reports on remediation actions are presented to the QIEC for review.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix C: Participant Services

C-3: Waiver Services Specifications

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

Appendix C: Participant Services

C-4: Additional Limits on Amount of Waiver Services

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

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

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

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

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

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

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

A budget allocation limit is in place for the participant to ensure a uniform objective method of determining the amount of funding needed to meet each participant's needs. This budget allocation limit pertains to all waiver services except Transportation and up to $500 per year for maintenance and repair of prior home modifications funded by a waiver service under the Home Modification service. The amount is determined using assessment information that reflects the needs of the participant. This assessment information is collected and used by the State to determine the level of supports a participant needs in order to live in a community setting. The assessment to determine a participant's Algo score is performed as if no services were provided.

The ICAP assessment tool is used to determine a participant's level of functioning for broad independence and general maladaptive factors. The ICAP Addendum determines a participant's level of functioning on behavior and health factors. These two uniform assessments are used statewide to determine a participant's overall functioning and level of need (algorithm or "Algo" score) from which an objective based allocation limit is assigned.

After the assessments are completed and the information is received by the State, the participants and their ISTs are required to review the information and ensure that it accurately reflects the participant who was assessed. Upon completion the participant will be notified of the allocation limit through his or her case manager.
ISTs may request a formal review of the allocation limit through the case manager. ISTs are asked to review the ICAP and ICAP addendum and provide supporting documentation to substantiate a participant's need for a different Algo score. The supporting documentation is reviewed as well as the PCISP, behavior support plans, high risk plans and any other documentation needed to analyze the participant's Algo score. Any request for formal review is submitted to the State through the case manager.

Adjustments to the allocation limit may also occur when the participant has a change in their needs. ISTs may request a review of the assigned allocation limit through the case manager via a budget review questionnaire/long-term budget request (BRQ/LTBR). The ISTs must first review the functional assessment findings and provide any other supporting documentation that might lead to an adjustment in the allocation limit. When requested, reviews are conducted by State staff within DDRS. If appropriate, adjustments and/or recommendations are provided by the DDRS review team.
In addition, a budget modification request/short-term budget request (BMR/STBR) allows the case manager or provider, with agreement of the IST and on behalf of the participant, to request short term increases in funding beyond the allocation limit if specific conditions apply. These conditions consist of a change in medical or behavioral needs or a change in living arrangement.

The BMR/STBR provides the participant the ability to request additional funding for a short amount of time to meet their needs that are outside the original allocation limit funding amount.

A participant may appeal the ICAP assessment if the participant feels it is inaccurate. The participant has the right to appeal any waiver-related decision of the State within 33 calendar days of a Service Authorization (SA)/Notice of Action (NOA). An SA/NOA is issued with the release of each State decision pertaining to a PCISP. Each SA/NOA contains the appeal rights of the consumer as well as instructions for filing an appeal.

Participants are assigned to funding levels that are limits on the maximum dollar amount of waiver services.

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

Appendix C: Participant Services

C-5: Home and Community-Based Settings

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

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

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

Note instructions at Module 1, Attachment #2, HCB Settings Waiver Transition Plan for description of settings that do not meet requirements at the time of submission. Do not duplicate that information here.

The Indiana Family and Social Services Administration (FSSA) attests that all settings are compliant with the HCBS Settings requirements at 42 CFR 441.301(c)(4)-(5).

Participants receiving HCBS under the CIH waiver may reside in the following settings:

- Privately owned or rented homes by themselves or with family members, friends, or roommates.
- Residential Habilitation and Support: Residential services offering an increased level of support in a home or apartment-like setting.
- Structured Family Caregiving (SFC) homes: Residential service arrangement in which a participant lives together with a related or non-related principal caregiver who provides daily care and support.

CIH 1915(c) waiver services are provided in the participant's home and community, based upon their preference. Additionally, Adult Day Services, Prevocational Services, and Day Habilitation are activities provided in a group setting, outside the participant's home. Settings for service delivery are chosen by the participant during the service planning process and identified in the participant's PCISP. To ensure compliance of all settings, HCBS questions are addressed and recorded in the PCISP.

FSSA has developed and utilizes a variety of tools to establish HCBS settings criteria compliance and monitor on-going compliance for all provider-owned or controlled settings as well as any other settings where HCBS services are provided. These tools include the following:

• Provider application/reverification process that is conducted at least every 4 years.
• Service plan development/review process that is conducted at least annually.
• Quality Onsite Provider Review (QOPR) process that is conducted at least every 6 years.
• Complaint Investigation Process that is conducted on a continuously and on-going basis.

Provider Application and Reverification Process: The provider application process assesses for compliance by ensuring providers fully embrace person-centered values, practices, and planning by requiring new providers to demonstrate an understanding of the purpose of HCBS by articulating how they will support individuals in a way that complies with the HCBS Settings requirements at 42 CFR 441.301(c)(4)-(5).

Service Plan Development Process: HCBS settings questions are addressed and recorded in the PCISP. For provider owned or controlled residential settings a systemic verification process has been embedded within the service plan development process to ensure ongoing monitoring of HCBS settings compliance.

Provider Compliance Review Process: The oversight process for continuous compliance with HCBS settings requirements is conducted through the Provider Compliance Review. The Provider Compliance Review process includes an assessment tool that includes indicators to support determining if individual outcomes are being achieved as well as the providers compliance with the HCBS Settings requirements. Through this process FSSA reviews providers compliance with state and federal rules as well as speaks directly to individuals to make sure they are receiving person-centered quality services.

Complaint Investigation Process: Individuals can report any instances of non-compliance directly to their case manager or BDS field staff. BDS Quality Assurance also provides an online complaint form as well as a complaint hotline to submit reports of non-compliance.

Any individual, guardian, family member, and/or community member has the right to file a complaint on the behalf of an individual receiving waiver services through the CIH waiver. A complaint can be filed if it is felt the provider has not followed state and/or federal rules or program requirements. FSSA will then investigate the complaint and determine the best course of action to assess the situation.

FSSA applies a combination of existing guidelines to address any necessary remedial strategies including providing additional education and technical assistance. In the event a provider has gone through remediation activities and continues to demonstrate

non-compliance with HCBS requirements, FSSA will apply its authority under IC 12-11-1.1-11 that allows for the issuance of citations in the form of developing corrective actions up to and including provider sanctions."

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Person-Centered Individualized Support Plan (PCISP)

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

- ☐ **Registered nurse, licensed to practice in the state**
- ☐ **Licensed practical or vocational nurse, acting within the scope of practice under state law**
- ☐ **Licensed physician (M.D. or D.O)**
- ☒ **Case Manager** (qualifications specified in Appendix C-1/C-3)
- ☐ **Case Manager** (qualifications not specified in Appendix C-1/C-3).
  Specify qualifications:
- ☐ **Social Worker**
  Specify qualifications:
- ☐ **Other**
  Specify the individuals and their qualifications:

Appendix D: Participant-Centered Planning and Service Delivery

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

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

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

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

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (3 of 8)

c. Supporting the Participant in Service Plan Development. Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

(a) Indiana utilizes a Person-Centered Individualized Support Plan (PCISP) for service plan development. The PCISP is based upon the Charting the LifeCourse FrameworkTM (CTLC Framework), which is comprised of eight principles and a set of tools that support the use and application of the principles. Developing the PCISP is a process based on the CTLC framework that identifies a participant's health and safety needs in balance with his or her aspirations and preferences to develop a plan that integrates a variety of services and supports to help the participant achieve his or her good life. The PCISP identifies the array of services and supports, both paid and unpaid, from all sources that will be utilized to implement desired outcomes and ensure the participant's health and welfare.

All case managers are trained on the principles and tools of CtLC and the application of the principles and tools in the development of the PCISP. Case managers use the tools in partnership with the participant which are then shared with the participant as well as included in their PCISP as an attachment. Participants also have access through the publicly available LifeCourse Nexus Training and Technical Assistance Center website located at https://www.lifecoursetools.com/.

(b) The participant designates the persons he or she wishes to participate in the development of his or her PCISP. The case manager is then responsible for inviting the selected persons to the meeting.

Appendix D: Participant-Centered Planning and Service Delivery

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

d. Service Plan Development Process. In four pages or less, describe the process that is used to develop the participant-centered service plan, including: (a) who develops the plan, who participates in the process, and the timing of the plan; (b) the types of assessments that are conducted to support the service plan development process, including securing information about participant needs, preferences and goals, and health status; (c) how the participant is informed of the services that are available under the waiver; (d) how the plan development process ensures that the service plan addresses participant goals, needs (including health care needs), and preferences; (e) how waiver and other services are coordinated; (f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan; and, (g) how and when the plan is updated, including when the participant's needs change. State laws, regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

(a) and (b)
The PCISP development process begins after informal and formal assessments are conducted using a combination of intake and referral data, standardized assessment tools, and direct observation of the participant. The PCISP is developed by the participant with support from the case manager. In accordance with 42 CFR 431.301, the person-centered service plan must be finalized and agreed to, with the informed consent of the individual in writing, and signed by all individuals and providers responsible for its implementation. FSSA requires that care managers furnish providers with a copy of the service plan initially, annually, and when there is a change or revision to the plan. Others of the participant's choosing may also participate in the development of the PCISP. This group forms the Individualized Support Team (IST). When developing the PCISP, the IST must meet in person at a time and location convenient to the individual. The PCISP first identifies the participant's preferences, aspirations, and health and safety needs. Then, by addressing the participant's identified outcomes and needs, the PCISP details what the participant wants to accomplish within a given year to achieve a good life across a variety of life domains. The PCISP documents how services and supports will be delivered to support the participant to meet his or her desired outcomes while addressing health and safety needs.

Case managers must have face-to-face contact with the waiver participant at least every 90 days and one unannounced home visit per year for participants residing in provider- owned or controlled settings. IST meetings are required at least semi-annually, or when requested by the participant, family, the Bureau of Disabilities Services (BDS), or other team members. However, face-to-face contact and team meeting requirements for participants with high risk or health needs remain unchanged from those previously stated in Appendix D, at least every 90 days but more often as determined by the IST.

The PCISP is updated at least annually, with a goal of determining the participant's needs, wants, and desires using person-centered planning philosophy processes. To be person-centered, the plan is required to be reflective of the participant's strengths and preferences related to relationships, community participation, employment, income and savings, health and wellness, and education.

The participant has the right and power to command and direct the entire PCISP process with focus on his or her preferences, dreams, and needs. The process empowers participants to create life plans and allows participants to direct the planning and allocation of resources to meet their self-directed life goals. The PCISP identifies the services and supports that are funded by the waiver and is routinely developed to cover a time frame of 12 consecutive months. The PCISP is developed by the participant-chosen case manager a minimum of six weeks prior to the initial start date of services or six weeks prior to the end date of the current annual service plan.

Utilized at initial intake and at least annually thereafter, the PCISP process accounts for and documents the participant's preferences, desires, and needs, including his or her likes and dislikes, means of learning, decision-making processes, management of finances, and desire to be productive and employed. It is the case manager's responsibility to ensure a person-centered planning process is conducted using plain language and that the process is timely, occurring at times/locations of convenience to the participant. Each participant's PCISP will then be reviewed at least every 90 calendar days during visits by the case manager. Needed updates are brought to the attention of the IST, which will meet more frequently than the required semi-annual basis if needed or desired.

The case manager reviews and documents risk assessment information gathered by the IST during the PCISP process to help identify risks related to health, behavior, safety, and support needs for waiver participants.

The State has incorporated changes into the person-centered process to ensure compliance with CMS 2249-F and CMS 2296-F.

(c) The participant is informed of available CIH services at the time of application, during enrollment and development of the PCISP, and on an ongoing basis throughout the year as needed. The participant's case manager is knowledgeable in all services available on CIH and is responsible for providing the participant with information about each covered service, its definition, scope, and limitations.

(d) The PCISP is developed based upon the outcomes of the initial, annual, or subsequent meeting of the IST during which the PCISP is developed, reviewed, and/or updated. Person-centered service plans document the options based on the participant's needs, preferences, and, for residential settings, individual participant resources available for room and board. This entire process is driven by the participant and is designed to recognize the participant's needs and desires.

The case manager follows the PCISP process discussed under items (a) and (b) above. The overall emphasis of the process will be to determine what is important to and what is important for the participant, with a goal of presenting a good balance of the two within the service plan. The case manager facilitates the IST meeting, reviews the participant's desired outcomes, his or her health and safety needs and preferences, and reviews covered services, other sources of services and support (paid and unpaid), and the budget development process for waiver services. The case manager then finalizes the PCISP.

(e) Case managers are responsible for the implementation and monitoring of the PCISP, and for monitoring participant health and welfare on an on-going basis. Coordination of waiver services and other services is completed by the case manager. Within 30 calendar days of implementation of the plan, the case manager is responsible for ensuring that all identified services and supports have been implemented as identified in the PCISP. The case manager is responsible for monitoring and coordinating services on an ongoing basis and is required to record at least one monthly case note for each participant. At least once every 90 calendar days, a review is completed by the case manager with the participant. The IST is advised of any concerns or needs for updates that may require scheduling of additional team meetings by the case manager. Each waiver provider is required to submit a quarterly report summarizing the level of support provided to the participant based upon the identified supports and services in the PCISP. The case manager reviews these reports for consistency with the PCISP and works with providers as needed to address findings from this review.

(f) The PCISP identifies the services needed by the participant to pursue his or her desired outcomes and to address his or her health and safety needs. The PCISP identifies all paid and unpaid services and supports, and includes the name of the provider, the service, and the responsible staffing position(s) within the chosen service agency or agencies for waiver-funded services. The participant may be responsible for outcomes of the PCISP if they so determine. The PCISP identifies the following: the name of the waiver-funded service, the name of the participant-chosen provider of that service, the cost of the service per unit, the number of units of service, and the start and end dates for each waiver service identified on the PCISP.

(g) The PCISP is reviewed a minimum of every 90 calendar days by the case manager and updated a minimum of every 365 calendar days with involvement of the IST. The participant may request a change to the PCISP at any point. Changes may include a new service provider, a change in the type of service, or a change in the amount of service. If a change to the PCISP is determined necessary during that time, the participant and/or family or legal representative and IST will meet to discuss the change. The case manager makes any subsequent updates to the PCISP based upon the participant and the IST discussion and determination.

Case managers and supervisors monitor PCISPs that are due to expire through the case management system. In addition, supervisors run monthly reports of the number of PCISPs that are about to expire for case management monitoring and quality assurance purposes.

The participant has the right and power to command and direct the entire PCISP process with focus on his or her preferences, dreams, and needs. The process empowers participants to create life plans and allows participants to direct the planning and allocation of resources to meet their self-directed life goals.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (5 of 8)

e. Risk Assessment and Mitigation. Specify how potential risks to the participant are assessed during the service plan development process and how strategies to mitigate risk are incorporated into the service plan, subject to participant needs and preferences. In addition, describe how the service plan development process addresses backup plans and the arrangements that are used for backup.

Risks to the individual are first assessed during the initial PCISP development process. Risks are assessed based upon the following processes:

As noted, the case manager ensures completion of risk assessment information gathered by the IST and documented by the case manager in the PCISP process to help identify risks related to health, behavior, safety and support needs for waiver participants.

During face-to-face visits with the participant that occur at least every 90 calendar days or more often if needed, the case manager reviews the PCISP, including any risk assessment(s) incorporated in the PCISP, to ensure the participant's needs are being met.

Case management providers schedule additional IST meetings as necessary when a change in the participant's status is identified. Any risk issues (i.e. health, behavioral, physical management, and environmental management) identified through the PCISP process are addressed through participant-specific risk plans to proactively and reactively address the risk issue(s). The outcomes of the assessment are used to guide the IST in the development of the participant's risk plan(s) or to review and revise the risk plan(s) as appropriate.

Risk identification and the need for a risk plan is based on a documented assessed need through formal or informal assessments. It is the shared responsibility of the IST to monitor a participant's risks. Risk plans and any associated restrictions are proportionate to the assessed risk, and risk plans are reviewed at least annually.

BDS monitors case managers by reviewing documentation on the individuals that they work with. This includes a review of how case managers are reviewing risk management plans as well as how they are documenting and following up on incident reports during routine visits with the participant.

When participants receive waiver services in their own homes the service plan must include a back-up plan to address contingencies such as emergencies. Back-up plans are specified within the PCISP and include contacting the case management provider's 24/7 line for assistance, contingency arrangements such as telephone calls to family, friends, neighbors, police or 911 emergency responders, walking to the home of a neighbor, or the use of a personal emergency response system when approved on the PCISP. Providers of case management services maintain a 24/7 emergency response system that does not rely upon the area 911 system and provides assistance to all participants of the CIH. The 24/7 line staff assist participants or their families with addressing immediate needs and contact the participant's case manager to ensure arrangements are made to address the immediate situation and to prevent reoccurrences of the situation.

The State maintains an extensive list of resource materials on the Bureau of Disabilities Services (BDS) Resource Materials webpage to assist with risk mitigation.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (6 of 8)

f. Informed Choice of Providers. Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

An electronic database is maintained by DDRS that contains information regarding all qualified waiver providers for each service on the CIH. Case managers are able to generate a list of all qualified providers for each service on the waiver for the participants' use.

As a service is identified, the participant or guardian with the circle of support are encouraged to call and interview potential service providers and make their own choice. Case managers can assist the participant with interviewing potential providers and obtaining references on potential providers, if desired by the participant.

The participant can request a change of any service provider at any time while receiving CIH services. The case manager will assist the participant with obtaining information about any and all providers available for a given service.

Case managers are not allowed to give their personal or professional opinion on any waiver service provider. The case manager is responsible for the coordination of the transition of a provider once determined by the participant.

Appendix D: Participant-Centered Planning and Service Delivery

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

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

FSSA is the Single State Medicaid Agency. The Office of Medicaid Policy and Planning (OMPP) and the Division of Disability and Rehabilitative Services (DDRS) are divisions within FSSA. The Bureau of Disabilities Services (BDS) is a bureau within DDRS.

All service plans (which are called Person Centered Individualized Support Plans or PCISPs) are subject to the approval of the state Medicaid agency. Oversight of PCISPs has been delegated to DDRS and its BDS. Initial PCISPs that require confirmation of facility discharge and PCISPs that include variable rate services are reviewed to verify the individual's needs and receipt of sufficient supporting documentation. Designated staff from BDS are responsible for making the determination to approve, deny or request additional information on a PCISP.

An in-depth review of a sample of service plans is conducted on a routine basis as described below. Note the in-depth review of service plans by BDS includes all PCISP components, not just the components outlined in the state's reportable Performance Measures.

Prior to the start of each waiver year, BDS generates a valid representative sample with a confidence interval of 95% for the full (active) waiver population. This representative sample is then allocated across the case management organizations (CMO) proportionate to the number of individuals each CMO serves. The annual sample size and CMO allocation is reviewed on a semi-annual basis and adjusted for growth as needed.

The CMO is required to review 1/12 of their allocated sample each month. For each individual selected, the CMO is required to complete a rubric and a file review.

Additionally, on a quarterly basis, BDS conducts its own in-depth review to verify the rubric and file review findings reported to BDS by the CMOs. The BDS sample randomly selects at least 20% of the review findings reported by CMOs for the quarter. Designated staff from BDS verify that all required components of the PCISPs are in place."

The PCISP includes natural and other non-paid supports.

As the result of the Quality Improvement Executive Committee (QIEC) meetings where performance measures are monitored and discussed, OMPP receives quarterly reports from BDS that contain performance-related data pertaining to oversight of the PCISPs.

Appendix D: Participant-Centered Planning and Service Delivery

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

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

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

Specify the other schedule:

The PCISP is reviewed and updated no less than annually. The PCISP is reviewed by the case manager at least once every 90 calendar days. The participant can request a change at any time.

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

- ☒ **Medicaid agency**
- ☐ **Operating agency**
- ☐ **Case manager**
- ☒ **Other**

Specify:

Electronic documents of the PCISP are maintained in the State's case management data system for a minimum of three years.

Appendix D: Participant-Centered Planning and Service Delivery

D-2: Service Plan Implementation and Monitoring

a. Service Plan Implementation and Monitoring. Specify: (a) the entity (entities) responsible for monitoring the implementation of the service plan and participant health and welfare; (b) the monitoring and follow-up method(s) that are used; and, (c) the frequency with which monitoring is performed.

Case managers are responsible for the implementation and monitoring of the PCISP, and for monitoring participant health and welfare. To facilitate the development and implementation of the PCISP, the case manager contacts the individual prior to the initial/annual person-centered planning meeting to discuss their needs. This discussion may include questions about the individual's satisfaction with current services. Additionally, the IST meets at least semi-annually to ensure individual continues to be satisfied with current services.

A minimum of one face-to-face contact between the case manager and the participant is required at least every 90 calendar days, and as frequently as needed to support the participant. In each meeting, the participant's current concerns and progress, as well as implementation of the PCISP, are reviewed.

At least once every 90 calendar days, the monitoring checklist is completed. The monitoring checklist is an automated tool that is utilized by the case manager in order to systematically review the PCISP. In addition, the monitoring checklist facilitates the review of reports from providers or from any behavioral support program, choice and rights, medical needs, medications, including psychotropic medications (if applicable), seizure management (if applicable), nutritional/dining needs, community integration, staffing issues, fiscal issues, and any other issues that may be identified in regard to the satisfaction and health and welfare of the participant.

The case manager is required to document at least one monthly case activity note in the state's electronic case management system (BDS Portal). This monthly case note must indicate the progress and implementation of the PCISP.

The case manager maintains regular contact with the participant, family/guardian, and the provider(s) of services through home and community visits or by phone to coordinate care, monitor progress, and address any immediate needs. During each of these contacts the case manager assesses implementation of the plan as well as monitors the participant's needs. Contact information is in place in the home, including the telephone numbers for Adult Protective Services or Child Protective Services and BDS.

The monitoring and follow up method used by the case manager may include conversations with the participant, the parent/guardian, and providers to monitor the frequency and effectiveness of the services through team meetings and regular face-to-face and phone contacts. The case manager asks:

•Are the services being rendered in accordance with the plan of care?
•Are the service needs of the participant being met?
•Do participants exercise freedom of choice of providers?
•What is the effectiveness of the crisis and back up plans?
•Is the participant's health and welfare being ensured?
•Do participants have access to non-waiver services identified in the plan of care including access to health services?

The implementation and effectiveness of the plan of care is reviewed at least once every 90 calendar days by the case manager and at least semi-annually in meetings of the IST.

At all times, full, immediate and unrestricted access to the participant's data is available to the State, including the DDRS Case Management Liaison position as well as other members of the DDRS Executive Management Team and the State Medicaid Agency.

Service Problems

Problems regarding services provided to participants are targeted for follow up and remediation by the case management entity in the following manner:
•Case managers conduct a face-to-face visit with each participant no less frequently than once every 90 calendar days to review the monitoring checklist, obtaining agreement of the IST for any needed updates.
•Case managers investigate the quality of participant services, and indicate on the checklist if any problems related to participant services were not yet identified.
•For each identified problem, case managers identify the timeframe and person responsible for corrective action, communicate this information to the IST, and monitor to ensure that corrective action takes place by the designated deadline.
•Case management supervisors, directors, or other identified executive management staff within each case management entity monitor each problem quarterly via a report from the state's case management system to ensure that case managers

are following up on, and closing out any pending corrective actions for identified problems.

At least once every 90 calendar days, in conjunction with the monitoring checklist, case managers document the participant's progress to indicate if all providers and other team members are current and accurate in their implementation of plan activities on behalf of the participant.

Any lack of compliance on the part of provider entities or other team members is noted within participant-specific case notes, indicating any need for follow up and communicated to the noncompliant entity for resolution. Case managers monitor occurrences of noncompliance to ensure completion of all identified outcomes for each participant, filing a formal complaint with BDS as described in Appendix F-3, when resolution is not achieved.

The case manager must address any reports or concerns about the health and welfare of a participant that are brought to the attention of the case manager by the participant, or someone reporting on a participant's behalf. The case manager must investigate the matter, notify the participant or other reporter with a determination of findings or steps to be taken, and document the findings.

Alleged, suspected or actual abuse, neglect or exploitation of a participant. An incident in this category must also be reported to Adult Protective Services or Child Protective Services. In cases where staff is involved, the provider shall suspend staff involved in an incident from duty pending investigation by the provider.

If the allegation is of abuse, neglect, or exploitation, of a participant, case managers take all necessary steps to ensure the safety of the participant. Any incidents related to the health and safety of a participant or that involve alleged or observed abuse, neglect, or exploitation, are reported to the DDRS via the state Incident Reporting system described in Appendix G-1.
Case managers are required to report to adult protective services or child protective services as applicable.

BDS holds the waiver service provider responsible for taking appropriate and effective measures to secure the participant's immediate safety, implementing preventative measures, and investigating reported incidents. Case managers review all filed incident reports, work with the provider to file any missing reports, and are then responsible for confirming that the provider took the required actions. To verify this, case managers use follow-up reports to document the provider's actions to safeguard the participant. Case managers enter their follow-up reports directly into the state's web-based incident management system.

BDS QA/QI Contractor's incident reviewers review these follow-up reports to determine the following: 1) if the participant's immediate safety has been secured, and 2) that plans are in place to prevent reoccurrences. Only when both of these criteria are satisfied will BDS QA/QI Contractor's incident reviewers close an incident report. Case managers are required to continue providing follow-up reports at a minimum of every seven calendar days until an incident is closed. The case management supervisors, directors, or other identified executive management staff within each case management entity monitor the timeliness of follow up on incident reports by the case managers.

Upon receipt of information regarding ongoing, systemic behaviors on the part of a provider of service that are not in accordance with established standards of practice, the case manager will:
•Attempt to resolve the issue verbally with the provider in question
•If no resolution is made, put the issue in writing to the provider. If then no resolution is made, bring the issue to the attention of the local BDS service coordinator.
If there is still no resolution, the case manager will file a formal complaint with DDRS as described in Appendix F-3.

Problems as identified within the monitoring checklist are reviewed quarterly at a minimum for follow up and closure by the case management supervisors, directors or other identified executive management staff within each case management entity.

Untimely and/or incomplete progress toward identified outcomes for each participant must be presented and discussed with the IST by the case manager. Issues are initially addressed within the scope of the team and provider agency, and may be escalated to DDRS via the filing of a formal complaint, mediation with the BDS service coordinator, or via an incident report should the problems prove to be systemic and/or otherwise not resolvable at the case management level.

The state wide waiver ombudsman is available to receive, investigate, and attempt to resolve complaints and concerns

that are made by or on behalf of participants who have a developmental disability. Complaints may be received via the toll free number 1-800-622-4484, via e-mail, in hard copy format or by referral. Types of complaints received include complaints initiated by families and/or participants, complaints involving rights or issues of participant choice, and complaints requiring coordination between legal services, DDRS services and provider services.

b. Monitoring Safeguards. *Select one:*

- (●) **Entities and/or individuals that have responsibility to monitor service plan implementation, participant health and welfare, and adherence to the HCBS settings requirements may not provide other direct waiver services to the participant.**
- ( ) **Entities and/or individuals that have responsibility to monitor service plan implementation, participant health and welfare, and adherence to the HCBS settings requirements may provide other direct waiver services to the participant because they are the only the only willing and qualified entity in a geographic area who can monitor service plan implementation.**

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

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:
D.4 Number and percent of sampled individuals whose PCISP addressed their assessed risks (as applicable). Numerator: Number of sampled individuals whose PCISP addressed their assessed risks (as applicable). Denominator: Total number of individuals sampled.

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

CMGT Rubric/Case file review

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
D.1 Number and percent of sampled individuals who report that their service plan includes things that are important to them. Numerator: Number of sampled individuals who report that their service plan includes things that are important to them. Denominator: Total number of sampled individuals who responded.

Data Source (Select one):
Other
If 'Other' is selected, specify:
National Core Indicators (NCI)

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

NCI Survey Contractor		
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
D.3 Number and percent of sampled individuals whose PCISP included a risk assessment. Numerator: Number of sampled individuals whose PCISP included a risk assessment. Denominator: Total number of sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
CMGT Rubric

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
D.2 Number and percent of sampled individuals whose PCISP addresses their needs and abilities. Numerator: Number of sampled individuals whose PCISP addresses their needs and abilities. Denominator: Total number of sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
CMGT Case file reviews

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

Specify:		Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The State monitors service plan development in accordance with its policies and***

procedures.

Performance Measures

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

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

c. *Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.*

Performance Measures

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

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

Performance Measure:
D.5 Number and percent of sampled individuals whose PCISP was reviewed and changed (as needed) when their needs changed. Numerator: Number of sampled individuals whose PCISP was reviewed and changed (as needed) when their needs changed. Denominator: Total number of sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
CMGT Rubric/Case file review

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

☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:

D.6 Number and percent of individuals whose PCISPs were updated/revised within 365 days of the previously approved annual PCISP. Numerator: Number of individuals whose PCISPs were updated/revised within 365 days of the previously approved annual PCISP. Denominator: Total number of individuals enrolled in the waiver who are due for an annual PCISP.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Electronic Case Management Database

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

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

Performance Measures

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

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

Performance Measure:
D.7 Number and percent of individuals who received the waiver services/supports in their PCISPs in the stipulated type, scope, amount, duration, and frequency. Numerator: Number of sampled individuals who received the waiver services/supports in their PCISPs in the stipulated type, scope, amount, duration, and frequency. Denominator: Total number of sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Monitoring Checklist

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*

☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95%
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**

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

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

Performance Measures

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

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

Performance Measure:
D.8 Number and percent of individuals who were afforded a choice between/among waiver services and providers. Numerator: Number of sampled individuals who were afforded a choice between/among waiver services and providers. Denominator: Total number of sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
CMGT Rubric/Case file review

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

Specify:		Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
D.9 Number and percent of sampled individuals who responded that the case

manager (CM) asks what the individual wants as part of service plan. Numerator: Number of sampled individuals who responded that the CM asks what the individual wants as part of service plan. Denominator: Total number of sampled individuals who responded.

Data Source (Select one):
Other
If 'Other' is selected, specify:
National Core Indicators (NCI)

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☒ **Other** Specify: NCI Survey Contractor	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

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

For measures D.1 and D.9, a PCISP is developed to support the participant in attaining a good life. Indiana utilizes the NCI In-Person Survey to assess whether a participant's services and supports identified in the PCISP are supporting him or her in moving towards a good life. A face-to-face survey is conducted in which the participant is asked a series of questions regarding satisfaction. One of the questions is specific to whether the participant believes the services and supports help him or her live a good life. The NCI response data is collected during the survey process but the specific participant is not identified. The data is reviewed on a quarterly basis by QIEC and when a trend is identified, guidance and education for the entire stakeholder community is developed and communicated. DDRS has conducted training on the LifeCourse Framework™ and the implementation of the PCISP.

For measures D.2, D.3, D.4, D.5, D.6, D.7, and D.8, BDS conducts monthly case record reviews utilizing a waiver-specific valid sampling methodology. BDS staff review waiver participant records for case manager compliance with Indiana Administrative Code rules related to the PCISP. Additional aspects of the case record review include: review of the PCISP, risk assessment (embedded in the PCISP), identified risk plans, Medicaid services (BDS signature page/freedom of choice section), signed pick lists for each service, and an updated PCISP when a participant's conditions or circumstances change.

For any item reviewed that is not in compliance, a corrective action plan is required and an electronic notification is sent to the responsible party that includes a description of the corrective action, steps to resolve, and due date. BDS verifies implementation of the corrective action and either closes the case record review or issues a second attempt for implementation by the responsible party. Reports are provided quarterly to BDS for trends related to case record reviews. This process allows for identification of issues that may require additional training and education.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix E: Participant Direction of Services

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

○ **Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.

◉ **No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the Appendix.

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

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

○ **Yes. The state requests that this waiver be considered for Independence Plus designation.**

○ **No. Independence Plus designation is not requested.**

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (12 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

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

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

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

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

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

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

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

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

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

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

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

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

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

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

Waiver applicants and their legal representatives are provided written and oral explanations of the Medicaid Fair Hearing process (including an explanation of the types of decisions they may appeal) at the time of the individual's initial eligibility assessment by the case manager.

Case managers will send formal notification to waiver applicants and participants of any action that affects the individual's Medicaid benefits related to waiver eligibility determination, service delivery, or budget allocation amount, including the following adverse actions:
• Denying new applicants entrance to the waiver (including denial of level of care);
• Not providing an individual the choice of home and community-based services as an alternative to institutional care;
• Reducing budget allocation amount;
• Denying an individual the service(s) of their choice or the provider(s) of their choice; and
• Denying, suspending, reducing or terminating previously authorized services.

This formal notification of action will be provided in writing to the waiver applicant or participant and their legal representatives within 10 business days of the issue date specified on the formal notification and in advance of the effective date of the action. The notice will include the following information:
• Description of the decision that was made;
• Description of the individual's appeal rights;
• Instructions for how the waiver applicant or participant may appeal the decision/action by requesting a Fair Hearing;
• Timeliness requirements for an appeal – within 33 days of the issue date specified on the formal notification;
• Description of the appeal process and procedures; and
• Option for waiver applicants and participants to have representation by an attorney, relative or other spokesperson.

Additionally, whenever an action is taken that adversely affects a waiver participant post-enrollment (e.g., services are denied, reduced or terminated), the notice will inform the participant that, if they file an appeal in a timely manner, their services will be continued during the period the appeal is under consideration by the Office of Administrative Law Proceedings.

Each formal notification is generated from and stored within the electronic eligibility systems. The case manager documents the request for an appeal in a case note. Additionally, the request for an appeal and a fair hearing is also recorded at the Office of Administrative Law Proceedings.

Upon request, the case manager assists the participant in preparing the written request for an appeal. The case manager advises the participant of the required timeframes for submission of an appeal, the address for submission of the appeal, and provides an opportunity to discuss the issue being appealed.

Appendix F: Participant-Rights

Appendix F-2: Additional Dispute Resolution Process

a. Availability of Additional Dispute Resolution Process. Indicate whether the state operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*

- ○ **No. This Appendix does not apply**
- ◉ **Yes. The state operates an additional dispute resolution process**

b. Description of Additional Dispute Resolution Process. Describe the additional dispute resolution process, including: (a) the state agency that operates the process; (b) the nature of the process (i.e., procedures and timeframes), including the types of disputes addressed through the process; and, (c) how the right to a Medicaid Fair Hearing is preserved when a participant elects to make use of the process: State laws, regulations, and policies referenced in the description are available to CMS upon request through the operating or Medicaid agency.

The Division of Disability and Rehabilitative Services (DDRS) operates a separate dispute resolution process that is available when there is a disagreement about service provision. Resolution of the dispute is designed to address the participant's needs.

Any issues that involve a participant's health and welfare are not addressed through the dispute resolution process but are instead immediately referred to the Bureau of Disabilities Services (BDS) for action in order to ensure participant health and welfare.

The parties to the dispute will first attempt to resolve the dispute informally through an exchange of information and proposed resolution(s). If the parties are not able to resolve the dispute within 15 days, each party must submit to the Individualized Support Team (IST) a description of the dispute, their positions, and their efforts to resolve the dispute. The IST will provide a decision and the parties must abide by that decision. If an IST cannot resolve the matter within 15 days after the dispute is referred to the IST, then the parties must refer the matter to designated FSSA staff for resolution of the dispute. The designated FSSA staff will make a decision within 15 days after the dispute is referred to the designated FSSA staff and give the parties notice of the designated FSSA staff's decision pursuant to Indiana Code (IC) 4-21.5. Any party adversely affected or aggrieved by the designated FSSA staff's decision may request administrative review of the designated FSSA staff's decision within 15 days after the party receives written notice of the designated FSSA staff's decision. Administrative review shall be conducted pursuant to IC 4-21.5.

The dispute resolution process is available for the IST to use, but it is not required before a participant or guardian can request an appeal. The case manager is responsible for the monitoring of services and ensuring that the participant understands that the dispute process is not a prerequisite or substitute for the participant's right to request an appeal. The dispute resolution process is not the appropriate avenue for addressing situations resulting from a HCBS waiver provider's unilateral actions that endanger the health or welfare of a participant such that an emergency exists. Under these circumstances, BDS takes actions to protect the health and welfare of the participant as described in Indiana Administrative Code.

Appendix F: Participant-Rights

Appendix F-3: State Grievance/Complaint System

a. Operation of Grievance/Complaint System. *Select one:*

- ○ **No. This Appendix does not apply**
- ◉ **Yes. The state operates a grievance/complaint system that affords participants the opportunity to register grievances or complaints concerning the provision of services under this waiver**

b. Operational Responsibility. Specify the state agency that is responsible for the operation of the grievance/complaint system:

DDRS operates a separate complaint process system through BDS (IC 12-11-1.1).

DDRS also employs a statewide waiver ombudsman per IC 12-11-13, independent of BDS, for the benefit of participants with a developmental disability who are receiving services under the waiver and who wish to file a complaint.

c. Description of System. Describe the grievance/complaint system, including: (a) the types of grievances/complaints that participants may register; (b) the process and timelines for addressing grievances/complaints; and, (c) the mechanisms that are used to resolve grievances/complaints. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

a)TYPES OF GRIEVANCES/COMPLAINTS PARTICIPANTS MAY REGISTER

Bureau of Disabilities Services (BDS), a bureau within DDRS, accepts complaints from any person or entity, when such complaints are related to participants receiving HCBS services that are coordinated and administered by the DDRS. BDS will investigate allegations of violations of state and federal code, requirement, or regulation.

Complaints not specific to the BDS are referred to the appropriate entity (agency/division/authority):
• Complaints alleging fraudulent billings or falsified time records will be researched through claims management and referred to the Surveillance and Utilization Review (SUR) Unit, as appropriate, for follow-up or action within four (4) business days.
• Systemic complaints may be referred to internal FSSA investigators or the Attorney General's office for consumer protection.

(b) and (c) PROCESS, TIMELINES, & MECHANISMS FOR ADDRESSING GRIEVANCES/COMPLAINTS

The DDRS complaint process is not a prerequisite or substitute for the participant's right to request an appeal. In order to give the system an opportunity to work, BDS encourages complainants with individual-specific issues to approach their case managers to try to resolve the issues first. If this has not produced the desired outcome, BDS will initiate a complaint investigation.

BDS forwards complaints to the QA/QA contractor who reviews and categorizes the complaints as urgent, critical, or non-critical. The QA/QA contractor assigns a quality assurance/quality improvement specialist (QA/QI Specialist) to investigate the case within identified timeframes.

Complaint investigation activities include:
• Conducting site visits to the participant's home or day program site;
• Conducting one-on-one interviews with the participant and/or their staff, guardians, family members, and any other people involved in the complaint; and
• Requesting and reviewing documentation from involved providers.

Complaints are acted upon by the BDS and its QA/QI contractor in accordance with the nature of the complaint:
• Complaints that immediately affect a participant's health and welfare are classified as "Urgent." Urgent complaints require an immediate response to ensure the health and welfare of the participant. Within one business day, a Quality Reviewer will perform an unannounced onsite visit/phone contact to ensure the participant's health and welfare and to begin the investigation. A summary of investigation report of findings (allegations found/not found) is issued to the provider within 30 business days and contains a request for a Corrective Action Plan (CAP) for found issues.
• Complaints that do not immediately affect a participant's health and welfare are classified as "Critical". Within two business days, a Quality Reviewer will perform an unannounced onsite visit/phone contact to ensure the participant's health and welfare and to begin the investigation. A summary of investigation report of findings (allegations found/not found) is issued to the provider within 45 business days and contains a request for a CAP for found issues.

If a CAP is required, BDS or its QA/QI contractor issues the CAP to the provider. The provider must either complete the CAP as directed or submit an alternate CAP within the established timeframe. If an alternate CAP is submitted, the QA/QI Specialist reviews the CAP; documents a decision to accept/not accept the CAP; and communicates to provider whether the CAP is accepted/not accepted. Upon successful implementation of the CAP, the CAP is validated by BDS or its QA/QI contractor. Complaints are closed once the CAP is validated. If a CAP accepted or cannot be validated after two attempts, a recommendation is made to refer the provider to the sanctions committee. The provider is notified electronically of complaint closure/referral to the sanctions committee.

The Statewide Waiver Ombudsman:
Per IC 12-11-13, the role of the statewide waiver ombudsman is to receive, investigate, and attempt to resolve complaints and concerns that are made by or on behalf of participants who have a developmental disability. Complaints may be received via the toll free number 1-800-622-4484, via e-mail, in hard copy format, or by referral. Types of complaints received include complaints initiated by families and/or participants, complaints involving rights or issues of participant choice, and complaints requiring coordination between legal services, DDRS services, and provider services.

The ombudsman is expected to initiate contact with the complainant as soon as possible. Timeframes for complaint resolution vary in accordance with the required research, in the collection of evidence and in the numbers and availability of persons who must be contacted, interviewed, or brought together to resolve the complaint. The DDRS Director is responsible for oversight of the statewide waiver ombudsman.

With the consent of the participant, the ombudsman must be provided access to the participant records, including records held by the entity providing services to the participant. When it has been determined the participant is not capable of giving consent, the statewide waiver ombudsman must be provided access to the name, address and telephone number of the participant's legal representative.

A provider of waiver services or any employee of a provider of waiver services is immune from civil or criminal liability and from actions taken under a professional disciplinary procedure for the release or disclosure of records to the statewide waiver ombudsman.

A state or local government agency or entity that has records relevant to a complaint or an investigation conducted by the ombudsman must also provide the ombudsman with access to the records.

The statewide waiver ombudsman coordinates his or her activities among the programs that provide legal services for individuals with a developmental disability, DDRS, providers of waiver services, and providers of other necessary or appropriate services, and ensures that the identity of the participant will not be disclosed without either the participant's written consent or a court order.

At the conclusion of an investigation, the ombudsman reports the ombudsman's findings to the complainant. If the ombudsman does not investigate a complaint, the ombudsman notifies the complainant of the decision not to investigate and the reasons for the decision.

The statewide waiver ombudsman prepares a report at least annually (or upon request) describing the operations of the program. A copy of the report is provided to the governor, the legislative council, DDRS, and the members of Indiana's developmental disabilities commission. Trends are identified so that recommendations for needed changes in the service delivery system can be implemented.

DDRS is required to maintain a statewide toll free telephone line continuously open to receive complaints regarding waiver participants with developmental disabilities. All complaints received from the toll free line must be forwarded to the statewide waiver ombudsman, who will advise the participant that the complaint process is not a pre-requisite or a substitute for a Medicaid Fair Hearing when the problem falls under the scope of the Medicaid Fair Hearing process described in Appendix F-1.

A person who intentionally prevents the work of the ombudsman; knowingly offers compensation to the ombudsman in an effort to affect the outcome of an investigation or a potential investigation; or knowingly or intentionally retaliates against a participant, a client, an employee, or another person who files a complaint or provides information to the ombudsman; commits a Class B misdemeanor.

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. Critical Event or Incident Reporting and Management Process. Indicate whether the state operates Critical Event or Incident Reporting and Management Process that enables the state to collect information on sentinel events occurring in the waiver program.*Select one:*

- ◉ **Yes. The state operates a Critical Event or Incident Reporting and Management Process** *(complete Items b through e)*
- ○ **No. This Appendix does not apply** *(do not complete Items b through e)*

  If the state does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the state uses to elicit information on the health and welfare of individuals served through the program.

b. State Critical Event or Incident Reporting Requirements. Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the state requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Indiana's administrative code requires all providers of HCBS waiver services, including case managers, to submit incident reports to BDS when specific events occur.

Incidents that require reporting include, but are not limited to those listed below and are defined as any event or occurrence characterized by risk or uncertainty resulting in or having the potential to result in significant harm or injury to a participant or death of a participant:

1) Alleged, suspected, or actual abuse, neglect, or exploitation (ANE) of a participant. An incident in this category must also be reported to adult protective services (APS) or the department of child services (DCS) as applicable. The provider shall suspend from duty any staff suspected, alleged, or involved in an incident of ANE of a participant, pending investigation by the provider. If needed, the case manager coordinates replacement services for the participant. In the event that the case manager is the alleged perpetrator the participant will be given a new pick list from which a new case manager will be selected. If APS or DCS has reason to believe that a participant is endangered, they will investigate the complaint or cause the complaint to be investigated by law enforcement or another agency and make a determination as to whether the participant is endangered.

• "Abuse" is defined as:
1. Intentional or willful infliction of physical injury.
2. Unnecessary physical or chemical restraints or isolation.
3. Punishment with resulting physical harm or pain.
4. Sexual molestation, rape, sexual misconduct, sexual coercion, and sexual exploitation.
5. Verbal or demonstrative harm caused by oral or written language, or gestures with disparaging or derogatory implications.
6. Psychological, mental, or emotional harm caused by unreasonable confinement, intimidation, humiliation, harassment, threats of punishment, or deprivation.

• "Neglect" is defined as a failure to provide appropriate supervision, training, clean and sanitary environment, appropriate personal care, food, medical services including routine medical and specialty consultations, or medical supplies or safety devices to a participant as indicated in the Person-Centered Individualized Support Plan (PCISP).

• "Exploitation" is defined as an unauthorized use of the personal services, the property, or the identity of a participant; any other type of criminal exploitation for one's own profit or advantage or for the profit or advantage of another.

2) Death of a participant. All deaths must be reported to APS or DCS as applicable. If the death is a result of alleged criminal activity, the death must be reported to law enforcement.

3) A service delivery site that compromises the health and safety of a participant while the participant is receiving services:
a) A significant interruption of a major utility, such as electricity, heat, water, air conditioning, plumbing, fire alarm, carbon monoxide alarm or sprinkler system;
b) Environmental or structural problems associated with a service site that compromises the health and safety of a participant, including but not limited to inappropriate sanitation,
serious lack of cleanliness, rodent or insect infestation, structural damage or failure, damage caused by flooding, tornado or other acts of nature, or environmental hazards such
as toxic or noxious chemicals.

4) Fire, residential or service delivery site (e.g., day services), resulting in health and safety concerns for a participant receiving services. This includes but is not limited to
relocation, personal injury, or property loss.

5) Elopement of a participant where a provider or service delivery site fails to provide the required support as described in the PCISP as necessary for the participant's health and
safety.

6) Suspected, observed, or actual criminal activity by (a) a provider's staff member, employee, or agent of a provider,

when it affects or has the potential to affect the participant's care; (b) a family member of a participant receiving services when it affects or has the potential to affect the participant's care or services; or (c) or a participant receiving services. This may include:
• Police arrest of the participant or any person responsible for the care of the participant
• A major disturbance or threat to public safety created by the participant

7) An event with the potential for causing significant harm or injury and requiring medical or psychiatric treatments or services to or for a participant receiving services.

8) Injury to a participant when the origin or cause of injury is unknown and may be indicative of abuse or requires medical intervention beyond first aid.

9) Any injury to a participant that requires medical intervention beyond basic first aid. This includes, but is not limited to, the following types of injuries and causes:
a) A fracture; or
b) A burn greater than first degree; or
c) Contusions or lacerations.

10) Use of any physical or mechanical restraint, and if any injury occurs while a participant is restrained the injury must also be specified in incident report.

11) Any threat or attempt of suicide made by the participant

12) A medication error except for refusal to take medications, including the following:
a) Medication given that was not prescribed or ordered for the participant;
b) Failure to administer medication as prescribed, including:
• Incorrect dosage;
• Medication administered incorrectly;
• Missed medication; and
• Failure to give medication at the appropriate time.

13). Inadequate staff support for a participant, including inadequate supervision, with the potential for:
a) Significant harm or injury to a participant; or
b) Death of a participant.

14) Use of any aversive technique, including but not limited to:
a) Seclusion;
b) Painful or noxious stimuli; and
c) Denial of a health-related necessity.

15) A fall resulting in injury requiring more than first aid.

16) Admission of a participant to a nursing facility, excluding respite stays.

17) Inadequate medical support for a participant, including failure to obtain:
a) Necessary medical services;
b) Routine dental or physician services; or
c) Medication timely resulting in missed medications.

18) Use of any PRN medication related to a participant's behavior. An incident report related to the use of PRN medication related to a participant's behavior must include the following information:
a) The length of time of the participant's behavior that resulted in the use of the PRN medication related to the participant's behavior.
b) A description of what precipitated the behavior resulting in the use of PRN medication related to the participant's behavior.
c) A description of the steps that were taken prior to the use of the PRN medication to avoid the use of a PRN

medication related to the participant's behavior.
d) If a PRN medication was used before a medical or dental appointment, a description of the desensitization plan in place to lessen the need for a PRN medication for a medical or dental appointment.
e) The criteria the provider has in place for use of a PRN medication related to a participant's behavior.
f) A description of the provider's PRN medication protocol related to a participant's behavior, including the provider's:
(i) Notification process regarding the use of a PRN medication related to a participant's behavior; and
(ii) Approval process for the use of a PRN medication related to a participant's behavior.
g) The name and title of the staff approving the use of the PRN medication related to the participant's behavior.
h) The medication and dosage that was approved for the PRN medication related to the participant's behavior.
i) The date and time of any previous PRN medication given to the participant related to the participant's behavior based on current records.

An incident described in this section must be reported by a provider or an employee or agent of a provider who:
• Is providing services to the participant at the time of the incident; or
• Becomes aware of or receives information about an alleged incident.

An initial report regarding an incident must be submitted within 24 hours of:
• The occurrence of the incident; or
• The reporter becoming aware of or receiving information about an incident.

The case manager must submit a follow-up report to the Bureau of Disabilities Services (BDS) concerning the incident at the following timeframes:
• Within seven days of the date of the initial report; and
• Every seven days thereafter until the incident is resolved.

All information required to be submitted to BDS must also be submitted to the case manager.

The Bureau of Disabilities Services (BDS) uses a web-based system to report and manage incident reports. All incident reports are to be submitted using this web-based system. If the web-based system is down, the incident may be submitted via email. While providers encourage their staff to report incidents through their own internal systems, anyone with an internet connection can report an incident through the State's system.

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

At intake and annually case managers have discussions with participants about how to identify and report abuse, neglect, and exploitation. At these meetings, case managers provide participants a copy of the grievance procedure and a copy of the State's "The Individual and Guardian Rights and Responsibilities" policy.

Additionally, case management organizations are required to provide each waiver participant with a link to the Indiana Health Coverage Programs (IHCP) Division of Disability and Rehabilitative Services (DDRS) HCBS Module, a resource document for participants and support teams. When requested by the participant, guardian and/or family, a paper/hard copy of the IHCP DDRS HCBS Module will be provided by the case manager.

Participants are required to sign and date that they received the grievance procedure and a link and/or copy of the above mentioned IHCP DDRS HCBS Module.

d. Responsibility for Review of and Response to Critical Events or Incidents. Specify the entity (or entities) that receives reports of critical events or incidents specified in item G-1-a, the methods that are employed to evaluate such reports, and the processes and time-frames for responding to critical events or incidents, including conducting investigations.

Bureau of Disabilities Services (BDS) is responsible for the oversight of the incident reporting system, which includes receiving and evaluating all incident reports. Incident reviewers use the web-based complaint and incident reporting systems to evaluate each of the incident reports to determine whether or not the provider has taken appropriate and sufficient actions to remedy the situation, prevent chances for reoccurrence, and to assure the participant's immediate safety.

Incident reviewers also evaluate whether incidents meet the criteria of being a critical event. Incidents of suspected abuse, neglect, or exploitation of an adult or child, or the death of an adult or child is reported to APS or DCS, as appropriate. The incident reporting system automatically generates an e-mail to the participant's BDS service coordinator and a designated distribution list to alert them of the incident and to indicate whether or not a follow-up report is required. A follow-up report is required if immediate protective measures were not included in the initial incident report.

To ensure the participant's health and safety, the case manager makes either a face-to-face or phone contact with the provider within 24 hours of notification of the critical event and documents this interaction via a follow-up report submitted in the State's web-based incident reporting system within 72 hours of the incident. The Critical event remains open until protective measures are in place. The incident report remains opens until there is documentation that the provider took the appropriate actions to resolve the issue.

Case managers are responsible for following-up on all incident reports while BDS oversees how timely and effectively case managers respond to incident reports. On a weekly basis the BDS QA/QI contractor's incident management staff reviews all unresolved critical events. When documentation ensuring health and safety is confirmed, the critical status is closed. The BDS QA/QI contractor submits a weekly report of unresolved critical events to BDS and BDS executive staff. All incident information is uploaded to the case management system and cases with open incidents display a message to facilitate follow-up.

The participant's case manager, along with input from the Individualized Support Team (IST), is responsible for electronically submitting follow-up reports within seven calendar days of the incident being reported and every seven calendar days thereafter until the incident is resolved to the satisfaction of BDS. Follow-up reports for critical events are required every 72 hours and every 72 hours thereafter until protective measure are in place. Follow-up reports provide the necessary documentation of actions taken to address incident-related issues. To assist with this, providers are able to download incident report information, including outstanding incident reports, through the BDS QA/QI contractor's system. BDS ensures that case managers are completing required follow-up reports until incidents are closed.

At the discretion of BDS, service coordinators may conduct an onsite review of the participant's environment to ensure that the team's proposed measures to ensure the participant's health and safety are in place and appropriate.

Case managers continue to be responsible for notifying families/guardians of incidents reported and sharing results of the provider's investigation when the case manager is authorized to disclose such information with those parties.

To further clarify the role of the case manager:
• At a minimum, case managers will meet with participants four times per year, not less than once every 90 calendar days. Case managers shall monitor the effectiveness of the PCISP outcomes using documented review between the participant or representative. Three of the four meetings may take place outside the home. One unannounced visit in the home is required for waiver participants residing in provider owned or controlled settings.
• For participants with high risk or high health needs, case managers have monthly face-to-face interactions with the participant.
• Case managers are responsible for ensuring the participant's immediate protection from harm when participants have had critical events which includes making contact with the provider and/or waiver participant/guardian within 24 hours of receiving incident.
• Pre- and post-monitoring of transitions (movement to a new residential services provider or home) are the responsibility of the case manager.

BDS QA/QI contractor manages the state's web-based incident management system. The QA/QI contractor's incident management staff have 24 hours to review incident reports and code them according to potential for impacting participants' health or safety, and whether immediate follow-up is necessary. Providers are responsible for taking appropriate and effective measures to secure the participant's immediate safety, implementing preventative measures, and investigating reported incidents. Case managers then validate and use follow-up reports to document the provider's

actions to safeguard the participant. Case managers enter follow-up reports into the state's web-based incident management system at minimum every seven calendar days until the incident is closed. BDS QA/QI contractor's incident management staff review these follow-up reports to determine: 1) whether the participant's immediate safety has been secured, and 2) that plans are in place to prevent reoccurrences. Only when both of these criteria are satisfied will BDS QA/QI contractor's incident management staff close the incident report.

All open incidents are posted in the BDS case management system on the case manager's dashboard to facilitate timely follow-up. Additionally, all incident information, including open, closed, and criticals, are posted in the individual's documents section of the BDS case management system.

In emergency situations, Indiana Administrative Code allows the State the authority to remove a participant from the provider's services, issue a moratorium on the provider taking new participants, and/or to terminate the provider's agreement to provide waiver services. The State also has the authority to issue civil sanctions. The DDRS sanctions committee (consisting of BDS and members of DDRS executive leadership) recommends to the DDRS director specific sanctions to be issued against providers. The BDS director then communicates this decision to the provider.

DDRS requires all uses of restrictive interventions (including those that are previously authorized) to be reported. Incident reports are required to be submitted within 24 hours of the incident occurring or the reporter becoming aware of the incident. Providers are responsible for investigating all incidents. In addition to investigating any incidents of unauthorized restraint and restrictive practices, DDRS's policy on the use of restrictive interventions requires providers to convene a team meeting as soon as possible, but no later than three business days, following a behavioral emergency where a restrictive intervention was used to discuss the behavioral emergency, the emergency intervention used, and the supports needed to minimize future uses of restrictive interventions.

As a part of the State's required follow up reports, case managers indicate that they have notified the family/guardian of the incident outcome.

The investigation surrounding an incident report (IR) is conducted by the provider but the case manager is responsible for ongoing follow up to ensure the investigation is completed and the incident can be closed by the State. As such, the timeframes for informing the participant of the investigation results would be dependent upon the unique range of activity required to complete each investigation and the policies of each individual case manager. Informing the participant of the investigation results is a requirement, but one for which a timeframe has not been identified. As teams meet at least once every 90 calendar days, it would be rare for the case manager to wait longer than 90 calendar days to report the results to the participant.

e. Responsibility for Oversight of Critical Incidents and Events. Identify the state agency (or agencies) responsible for overseeing the reporting of and response to critical incidents or events that affect waiver participants, how this oversight is conducted, and how frequently.

Bureau of Disabilities Services (BDS) oversees incident reporting and management and works closely with BDS staff, case managers, and providers to assure that the same incidents do not continue to occur.

Providers are able to download incident report data through BDS QA/QI contractor's data management system. At least quarterly, the BDS QA/QI contractor compiles aggregate incident data and provides a trend analysis to BDS leadership. On a monthly basis, the incident management review committee reviews incident trends and proposes interventions for consideration.

BDS also oversees the mortality review process. All deaths are reviewed by BDS QA/QI contractor's mortality review triage team. Deaths with suspect circumstances are reviewed by the full mortality review committee (MRC) facilitated by BDS. While the review of deaths takes place on an ongoing basis, the MRC meets monthly.

BDS facilitates the quality improvement executive committee (QIEC), which is the decision-making body charged with identifying needed system improvements, and then designing, implementing, and monitoring the effectiveness of those improvements. Committee members include representatives from all of the entities involved in overseeing waiver services which include the Office of Medicaid Policy and Planning (OMPP), BDS, and the BDS QA/QI contractor.

When trends are identified, the QIEC uses a worksheet to document the opportunity for improvement, the data source to be improved, a desired outcome that is measureable, measurement criteria, and a draft mitigation strategy that identifies people responsible and timelines for implementation, and a timeframe to measure how the identified issue has changed. If no change or negative change has occurred, the plan is to develop another mitigation strategy to attempt to resolve the problem.

The Bureau of Disability Services (BDS) works in collaboration with OMPP, the FSSA office responsible for administration and operation of Indiana's PathWays waiver. BDS and OMPP meet to identify cross-waiver issues such as provider trends requiring system-wide remediation across waiver programs. These meetings occur on a bi- annual basis, and ad hoc as needed to respond to identified issues.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 3)

a. Use of Restraints. *(Select one)*: *(For waiver actions submitted before March 2014, responses in Appendix G-2-a will display information for both restraints and seclusion. For most waiver actions submitted after March 2014, responses regarding seclusion appear in Appendix G-2-c.)*

○ **The state does not permit or prohibits the use of restraints**

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

◉ **The use of restraints is permitted during the course of the delivery of waiver services**. Complete Items G-2-a-i and G-2-a-ii.

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

The State allows the use of restraints when used in conjunction with a Behavioral Support Plan and when approved by the human rights committee or in an emergency situation but only to prevent significant harm to the participant or others.

A restrictive intervention may be used in an emergency situation without being planned when all of the following are present:
• An unanticipated behavioral emergency exists;
• A participant's behavior poses an imminent threat of harm to self or others;
• There is no approved behavior support plan that addresses the behavioral emergency, or there is an approved plan but it has been found to be ineffective and a more restrictive intervention is indicated based upon the participant's behavioral emergency; and
• The intervention chosen is determined to be the least restrictive measure required to quell the unanticipated behavioral emergency.

Indiana code applicable to waiver services does not differentiate between personal restraints, but includes them as "restrictive interventions" in its implementation of safeguards. Drugs used as a method of restraint are also addressed as a "restrictive intervention" while requiring additional safeguards.

In order for a provider to initiate an emergency restrictive intervention, the provider must first establish a written plan which includes all of the following components:
• The specific, defined emergency interventions to be used;
• Any appropriately trained staff that is authorized to select and initiate in emergency intervention;
• The training needed for staff prior to implementing emergency interventions; and
• Directions for documenting: a description of the emergency, a description of the emergency intervention implemented, the persons implementing the emergency intervention, the duration of the emergency intervention, the participant's response to the emergency intervention.

When an emergency restrictive intervention (i.e. chemical restraint, physical restraint, or removal of a participant from the participant's environment) is implemented, the IST is then required to meet not later than five working days after the emergency restrictive intervention in order to:
(1) Review the circumstances of the emergency restrictive intervention (i.e. chemical restraint, physical restraint, or removal of a participant);
(2) Determine the need for a functional analysis, behavioral support plan or both, and to document recommendations. If a provider of behavioral support services is not a member of the IST, a provider of behavioral support services must be added to the IST.

The State has established provider standards prohibiting abuse, neglect, exploitation, or mistreatment of a participant, or violation a participant's rights. In addition to the requirements in the Incident Reporting policy, abuse may require a provider to file a police report.

Also prohibited are practices that violate a participant's rights. The prohibited practices include: denying a participant any of the following without a physician's order: sleep, shelter, food, drink, physical movement for prolonged periods of time, medical care or treatment, or use of bathroom facilities; corporal punishment inflicted by the application of painful stimuli to the body, which includes: forced physical activity, hitting, pinching, the application of painful or noxious stimuli, the use of electric shock, or the infliction of physical pain; seclusion; verbal abuse including: screaming, swearing, name-calling, belittling, or other verbal activity that may cause damage to an individual's self-respect or dignity; and work or chores benefitting other without pay unless authorized by the US Department of Labor, the services occur in the participant's own residence as a normal and customary part of housekeeping and maintenance duties, or the participant desires to volunteer in the community.

Providers are required to limit the use of highly restrictive procedures, including physical restraint or medications to assist in the managing of behavior, and are instead to focus on behavioral supports that begin with less intrusive or restrictive methods before more intrusive or restrictive methods are used.

Indiana policy requires that behavioral support plans that utilize restrictive interventions contain the following:
(1) A functional analysis of the targeted behavior for which a highly restrictive procedure is designed;
(2) Documentation that the risks of the targeted behavior have been weighed against the risk of the highly restrictive procedure;
(3) Documentation that systematic efforts to replace the targeted behavior with an adaptive skill were used and found to be not effective;
(4) Documentation that the participant, the IST and the applicable human rights committee agree that the use of the highly restrictive method is required to prevent significant harm to the participant or others;
(5) Informed consent from the participant or the participant's legal representative; and
(6) Documentation that the behavioral support plan is reviewed regularly by the IST.

To ensure the participant's safety, the IST participates in meetings with the behavioral support staff. This includes the participant, his/her parent or guardian, case manager, and applicable service providers. The team reviews the behavioral clinician's quarterly reports, behavior data tracking sheets and verbal input from team members. The quarterly report covers the prior quarter's progress on the behavioral support plan including targeted behaviors and any need for an amendment to the plan.

Indiana policy requires that providers' staff be trained to implement the participant's specific behavior plan.

Behavioral support plans are developed and implemented as needed to avoid use of restraint whenever possible. Behavioral support providers are required to train appropriate staff /personnel of approved providers. At minimum, personnel who are involved in the administration of restraints must meet the education and training requirements specified in 460 IAC 6-5-4 and 6-14-4 and be trained by the provider of behavioral support services.

The State's list of excluded (aversive) techniques includes but is not limited to:
1. Contingent exercise
2. Contingent noxious stimulation
3. Corporal punishment
4. Negative practice
5. Overcorrection
6. Seclusion
7. Visual or facial screening
8. Any other technique that:
a) incorporates the use of painful or noxious stimuli;
b) incorporates denial of any health related necessity; or
c) degrades the dignity of a participant.

Additionally, any restrictive intervention used for convenience of discipline, prone restraint where an individual is face down on their stomach, or any aversive technique and mechanical restraint are also excluded, unless ordered as a medical restraint by a licensed physician or dentist.

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

The Bureau of Disabilities Services (BDS) and OMPP are responsible for overseeing the use of restrictive interventions and ensuring that State safeguards concerning their use are followed. Oversight of the use of restrictive interventions at the participant level occurs through the IST and the case management function.

Unauthorized use of restrictive interventions and violations of rights is monitored through the incident reporting process, the complaint process, and the case management function, as well as review during required team meetings.

Data is entered into and collected from the State's electronic Incident Reporting system. It is aggregated quarterly and normed annually, so that is reviewed as it relates to all providers. The data is then used during the provider re-approval process to evaluate providers' quality assurance/quality improvement systems and ensure policies and procedures are in place to address the use of restraints.

Appendix G: Participant Safeguards

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

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

○ **The state does not permit or prohibits the use of restrictive interventions**

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

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

i. Safeguards Concerning the Use of Restrictive Interventions. Specify the safeguards that the state has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

The State allows the use of restrictive interventions when used in conjunction with a behavioral support plan, or in an emergency situation only to prevent harm to the participant or others. Behavioral support standards require that behavior plans employ non-aversive methods to replace maladaptive behaviors with functional and useful behaviors.

Indiana policy specifies the requirements for behavioral support plans, which utilize restrictive interventions when the plan contains:
(1) A functional analysis of the targeted behavior for which a highly restrictive procedure is designed;
(2) Documentation that the risks of the targeted behavior have been weighed against the risk of the highly restrictive procedure;
(3) Documentation that systematic efforts to replace the targeted behavior with an adaptive skill were used and found to be not effective;
(4) Documentation that the participant, the IST and the applicable human rights committee agree that the use of the highly restrictive method is required to prevent
significant harm to the participant or others;
(5) Informed consent from the participant or the participant's legal representative; and
(6) Documentation that the behavioral support plan is reviewed regularly by the IST.

The IST participates in team meetings with the behavioral support staff.

To ensure the participant's safety, the IST participates in quarterly reviews with the behavioral support staff. This includes the participant and his/her parent or guardian, case manager, and applicable service providers. The team reviews the behavioral clinician's quarterly reports, behavior data tracking sheets and verbal input from team members. The quarterly report covers the prior quarter progress on the behavioral support plan including targeted behaviors and any need for an amendment to the plan.

Indiana policy establishes a prohibition against violating participants' rights. Providers are directed to adopt policies and procedures that prohibit abuse, neglect, exploitation, and mistreatment of participants.

Inappropriate restrictive measures that constitute abuse are reported immediately upon discovery to APS or DCS. This situation would constitute a critical incident and also be subject to BDS critical incident interventions at the participant and provider level which may include referral of a provider to the sanctions committee and identification and selection of new providers of behavioral services by participants

At a minimum, personnel who are involved in the administration of restraints must meet the education and training requirements specified in 460 IAC 6-5-4 and 6-14-4 and be trained by the provider of behavioral support services.

ii. State Oversight Responsibility. Specify the state agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

The Bureau of Disabilities Services (BDS) and OMPP are responsible for overseeing the use of restrictive interventions and ensuring that State safeguards concerning their use are followed. Oversight of the use of restrictive interventions at the participant level occurs through the IST and as a case management function.

Unauthorized use of restrictive interventions and violations of rights is monitored through the incident reporting process, the complaint process, and the case management function, as well as review during required team meetings.

Data is entered into and collected from the State's electronic Incident Reporting system. It is aggregated quarterly and normed annually, so that it is reviewed as it relates to all providers. The data is then used during the provider re-approval process to evaluate providers' quality assurance/quality improvement systems and ensure policies and procedures are in place to address the use of restraints.

Additionally, BDS QA/QI contractor processes all IRs and reviews individuals' incidents as they are reported to look for trends/patterns. Any trends are escalated to BDS administration for review and follow-up.

Appendix G: Participant Safeguards

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

c. Use of Seclusion. *(Select one)*: *(This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

◉ **The state does not permit or prohibits the use of seclusion**

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

Seclusion is not allowed as a behavioral intervention and is considered an act of abuse.

Unauthorized use of seclusion is monitored through the incident reporting process, the complaint process, and the case management function, as well as review during required team meetings. For any confirmed or suspected use of seclusion, an incident report is required.

Indiana policy specifies that "seclusion" means placing a participant alone in a room or other area from which exit is prevented is specifically prohibited from use. BDS policy lists seclusion among prohibited practices. Per DDRS's incident reporting and management policy, incidents to be reported to BDS include any event or occurrence characterized by risk or uncertainty resulting in or having the potential to result in significant harm or injury to a participant. Seclusion is categorized as an aversive technique. Per Indiana policy, "abuse" includes unnecessary physical or chemical restraints or isolation, and the use of seclusion/isolation is a violation of rights.

The State does utilize restrictive interventions, but documents within this section that seclusion is not allowed as a behavioral intervention and is considered an act of abuse.

Bureau of Disabilities Services (BDS) reviews all incident reviews for any reporting of seclusion. If a reported incident appears to be seclusion, detailed follow-up is requested of the provider. Additionally, the incident in question is escalated to BDS and DDRS administration for review and follow-up.

○ **The use of seclusion is permitted during the course of the delivery of waiver services**. Complete Items G-2-c-i and G-2-c-ii.

i. Safeguards Concerning the Use of Seclusion. Specify the safeguards that the state has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

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

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (1 of 2)

This Appendix must be completed when waiver services are furnished to participants who are served in licensed or unlicensed living arrangements where a provider has round-the-clock responsibility for the health and welfare of residents. The Appendix does not need to be completed when waiver participants are served exclusively in their own personal residences or in the home of a family member.

a. Applicability. Select one:

- ○ **No. This Appendix is not applicable** *(do not complete the remaining items)*
- ◉ **Yes. This Appendix applies** *(complete the remaining items)*

b. Medication Management and Follow-Up

i. Responsibility. Specify the entity (or entities) that have ongoing responsibility for monitoring participant medication regimens, the methods for conducting monitoring, and the frequency of monitoring.

Medication Management and Follow-Up is viewed broadly within this waiver as part of the duties related to coordinating a participant's health care.

The person identified in the PCISP is responsible for coordinating the participant's health care and may be the participant or participant's family, a residential provider and/or a provider of wellness coordination services working with their health care provider.

Per Indiana policy, coordinating health care includes ensuring the participant accesses necessary health care services including annual physical, dental and vision examinations ordered by the physician, routine examinations and screenings, and referrals to specialists as needed. The ordering physician or other health care professional permitted to prescribe medications has responsibility for first-line management of a participant's medication.

The IST at each meeting reviews the participant's medications as part of the comprehensive PCISP review, and the case manager is responsible for ensuring that questions that arise related to medication management during this meeting are addressed by the most appropriate/qualified individuals. The case manager responsibilities may include supporting the individual to schedule an appointment with the individual's physician to review their medications and/or address related questions. The case manager will complete these tasks with the individual's informed consent.

A checklist developed by the state is utilized to ensure that identified areas are assessed and results communicated to the state.

A significant part of coordinating health care includes needing to document the services the person has received. Per Indiana policy, providers with this responsibility need to maintain the dates of health and medical services, a description of those services, and an organized system for documenting that medications are administered, which also speaks to medication management and follow-up.

The system for medication administration must include a documentation system, a system for communicating among all providers that administer medication, and the monitoring of medication side effects. All providers are required to have a health-related incident management system to provide an internal review process for any health-related reportable incident – of which one is medication errors.

Case managers conduct visits with individuals and ISTs, and such visits include monitoring providers' compliance with medication administration systems. The purpose of this monitoring is to detect potentially harmful practices and then to follow-up to address these practices. Case managers use a standardized checklist to conduct these monitoring visits. The incident reporting and complaint processes provide an additional monitoring resource.

When behavior modifying medications are used, the State mandates the IST to be in agreement with the use of medication and have the approval of the human rights committee prior to implementation.

Monitoring activities by the case manager address all medications actions, not just a percentage. At each semiannual IST meeting, or more often if indicated by the PCISP, case managers monitor the administration of medications, including Psychotropic and Non-Psychotropic medications, with members of the IST.

Regarding psychotropic medications:
• Does the participant's record confirm the use of psychotropic medication?
• Is there informed consent and human rights committee approval for administration of the psychotropic medication to the participant?
• Is there a written titration plan that has been reviewed by the prescribing physician within the past year present for the psychotropic medication being administered?
• Is the psychotropic medication titration plan being implemented per the written plan?
• Are the behaviors for which the psychotropic medication is administered identified?
• Is the identified behavior data being documented consistently and in accordance with the titration plan?
• Does the PCISP include an identified timeframe for psychiatric consults/visits?
• Has the individual seen a psychiatrist within the identified referral and follow-up timeframes?

Regarding non-psychotropic medications:
• Is there a written medication administration plan and a medication administration record available for the participant?
• Does the medication administration record** confirm that all currently prescribed medications are being administered without error?
• Is medication being administered in compliance with the participant's medication administration plan?
• Are medications being stored per the participant's medication administration plan?
• Does observation of the participant, review of the participant's medication side effect documentation, and discussion with staff, the individual and the legal guardian if indicated, confirm the absence of medication side effects for the participant?

**For some individuals, the family or legal guardian is identified as the responsible party for medication administration. As natural and un-paid providers of care, families are not required to maintain medication administration records (MAR).

ii. Methods of State Oversight and Follow-Up. Describe: (a) the method(s) that the state uses to ensure that participant medications are managed appropriately, including: (a) the identification of potentially harmful practices (e.g., the concurrent use of contraindicated medications); (b) the method(s) for following up on potentially harmful practices; and, (c) the state agency (or agencies) that is responsible for follow-up and oversight.

Per 460 IAC 6-25-4, the State requires providers have an organized system for medication administration for each participant receiving medications, which is fundamental to conducting oversight and follow-up. The provider is required to document the system in writing and distribute the document to all providers administering medication to the participant. The documentation is placed in the participant's file maintained by all providers administering medication to the participant.

This required system must contain at least the following elements:
• Identification and description of each medication required for the participant;
• Documentation that the participant's medication is administered only by trained and authorized personnel unless the participant is capable of self-administration of medication as provided for in the PCISP;
• Documentation of the administration of medication, including administration of medication from original labeled prescription containers; the name of medication administered; the amount of medication administered; the date and time of administration; and the initials of the person administering the medication;
• Procedures for the destruction of unused medication;
• Documentation of medication administration errors;
• A system for the prevention or minimization of medication administration errors;
• When indicated as necessary by a participant's PCISP, procedures for the storage of medication;
• Documentation of a participant's refusal to take medication;
• A system for communication among all providers that administer medication to a participant; and
• All providers administering medication to the participant shall implement and comply with the organized system of medication administration designed by the provider.

Bureau of Disabilities Services (BDS) oversees provider compliance with state standards and requirements through the provider approval and enrollment process, mandatory provider training, ongoing provider monitoring performed by case managers during face-to-face contact with participants and during review of the PCISP and through quality improvement review activities. Results of the reviews are shared with OMPP. In addition, medication management issues may be identified as a result of incident reporting, mortality reviews, the complaint process, and from quality on-site provider reviews.

Case managers analyze data at the participant level, identify trends, and work with providers to develop remediation plans. BDS conducts the same activities but for provider-specific and systemic trend analysis. When issues are identified, BDS will issue a corrective action plan to the provider. Providers have two opportunities to develop an acceptable corrective action plan and two opportunities to validate that plan. Noncompliant providers are forwarded to the BDS director for progressive discipline.

BDS utilizes the quality improvement executive council (QIEC), which includes OMPP, to develop and implement mitigation strategies to address potentially harmful practices and improve quality.

At the provider level, corrective action plans (CAP) may be required as well as provider-specific training to address medication management issues. As with all performance-related issues and issues related to participant health and safety, existing processes are utilized to address urgent issues (through the incident reporting system) or repeated non-compliance (through referral to the sanctions committee).

The State uses the following methods facilitated by BDS:

1. Incident reporting – all issues related to medication administration are reported within the State's Incident Reporting system. Medication administration data is aggregated and reviewed at least annually by the QIEC. With representation from multiple entities within FSSA, (DDRS, BDS and OMPP), the QIEC makes recommendations for system improvement as trends surface.

2. Within the mortality review committee, the physician and registered nurse who serve on the mortality review triage team, review medications and potential side effects/implications to give the committee a comprehensive picture of how medical issues may have impacted the participant's overall health and well-being.

Additionally, the State offers wellness coordination services to eligible participants of the CIH waiver. For participants who choose this service, medication management and oversight occurs at least weekly as a component of the routine consultation and review conducted by the licensed nurse coordinating the medical needs

of the participant. The timely discovery and remediation of potentially harmful practices, both individually and systemically, is one expectation of this relatively new service.

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

c. Medication Administration by Waiver Providers

i. Provider Administration of Medications. *Select one:*

- ○ **Not applicable.** *(do not complete the remaining items)*
- ◉ **Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*

ii. State Policy. Summarize the state policies that apply to the administration of medications by waiver providers or waiver provider responsibilities when participants self-administer medications, including (if applicable) policies concerning medication administration by non-medical waiver provider personnel. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Indiana policy requires that all direct care staff be trained in administering medication. The state has an approved curriculum available for providers to use to conduct this training.

The system for medication administration must include a documentation system, a system for communication among all providers that administer medication and the monitoring of medication side effects. All providers are to have a health-related incident management system to provide an internal review process for any health-related reportable incident – of which one is medication errors (460 IAC 6-9-4 and the BDS incident reporting and management policy).

Additionally, the following sections of Indiana administrative code contain information related to medication administration:

460 IAC 6-14-4 requires training specific to medication administration and medication side effects, which includes but is not limited to the following training topics:
i. Medication administration and side effects training by a licensed nurse; and
ii. Competency in medication administration documented by a licensed nurse

This policy also requires that prior to providing services to an individual, all direct support professional staff will be trained to competency in the individual specific interventions for each individual they are working with, including but not limited to the individual's medication administration needs and the side effects for any prescribed medications.

460 IAC 6-17-3 requires that, at minimum, the onsite records pertaining to the participant contain all medication administration recording forms for the previous two months.

460 IAC 6-17-4 requires that, with the exception of the prior or previous two months' of documentation that is maintained at the site of service delivery as described in the "Individuals' Personal Information: Site of Service Delivery" policy, the Individual's personal information shall include at minimum include all medication administration recording forms.

460 IAC 6-25-10 requires that the primary services provider shall also provide a narrative review of the deceased individual's medication administration records.

460 IAC 6-9-5 and the DDRS Incident Reporting & Management policy require the reporting of any medication error, except for refusal to take medications, including the following:

a) Medication given that was not prescribed or ordered for the participant;
b) Failure to administer medication as prescribed, including:
• Incorrect dosage;
• Medication administered incorrectly;
• Missed medication; and
• Failure to give medication at the appropriate time.

This policy also requires the reporting of the use of any PRN medication related to an individual's behavior.

460 IAC 6-10-10 and the DDRS Quality Assurance & Quality Improvement System policy require that whenever medication is administered to an individual by a provider, the provider must develop a process for:

i. identifying all medication errors;
ii. analyzing all medication errors and the persons responsible for them
iii. developing and implementing a risk reduction plan to mitigate and eliminate future medication errors; and
iv. a monthly review of the risk reduction plan to assess progress and effectiveness

iii. Medication Error Reporting. *Select one of the following:*

◉ **Providers that are responsible for medication administration are required to both record and report medication errors to a state agency (or agencies).**

Complete the following three items:

(a) Specify state agency (or agencies) to which errors are reported:

Medication errors, except medication refusals, must be reported to BDS through the incident reporting process detailed within Appendix G-1-a of this application.

(b) Specify the types of medication errors that providers are required to *record:*

Any medication error, including refusal to take medications, must be recorded by the provider. This includes the following:

a) Medication given that was not prescribed or ordered for the participant;
b) Failure to administer medication as prescribed, including:
• Incorrect dosage;
• Medication administered incorrectly;
• Missed medication; and
• Failure to give medication at the appropriate time.

Providers must conduct medication administration training through a licensed RN or LPN. While providers can conduct their own medication administration training, DDRS has an approved Core A and B medication administration training curriculum available to assist providers' trainers. For this specific training, the State requires that only RNs or LPNs participate in this train-the-trainer training.

(c) Specify the types of medication errors that providers must *report* to the state:

Any medication error, except for refusal to take medications, must be reported to the state via the incident reporting process detailed within Appendix G-1-a of this application. Such errors include the following:

a) Medication given that was not prescribed or ordered for the participant;
b) Failure to administer medication as prescribed, including:
• Incorrect dosage;
• Medication administered incorrectly;
• Missed medication; and
• Failure to give medication at the appropriate time

○ **Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the state.**

Specify the types of medication errors that providers are required to record:

iv. State Oversight Responsibility. Specify the state agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

Bureau of Disabilities Services (BDS) and OMPP are responsible for overseeing provider performance in the administration of medications.

BDS monitors provider compliance with state standards and requirements for medication administration through ongoing provider monitoring performed by case managers during face-to-face contact with participants and during review of the PCISP by the IST.

Medication error reporting or inappropriate use of medications may be received by BDS through the incident reporting system or the complaint system. On a quarterly basis, a trend analysis of medication error data is completed by BDS QA/QI contractor and the data is reviewed by the QIEC.

Depending on the specific situation and severity of the incident, immediate actions will be taken that range from provider contact, remediation through provider training and provider development of a CAP, up to and including referral to the sanctions committee for egregious violations of policies related to medication safeguards.

While the State utilizes one Appendix G Performance Measure to address critical events regarding medication administration errors that result in medical treatment, additional data related to a broader range of medication errors is also collected, reviewed, and analyzed by BDS. On a quarterly basis, data trends involving medication errors are reviewed and discussed as part of the work of the QIEC, which also includes OMPP. QIEC identifies potential activities and remedies to address and mitigate identified issues.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. Methods for Discovery: Health and Welfare

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:
G.2 Number and percent of sampled individuals who reported that paid staff are respectful. Numerator: Number of sampled individuals who reported paid staff are respectful. Denominator: Total number of sampled individuals who responded.

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

National Core Indicators (NCI)

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☒ **Other** Specify: NCI Survey Contractor	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.4 Number and percent of reported incidents of alleged abuse, neglect, or exploitation (ANE) that are monitored to appropriate resolution. Numerator: Number of reported incidents of alleged ANE that are monitored to appropriate resolution. Denominator: Total number of reported incidents of alleged ANE.

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

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.5 Number and percent of unexpected deaths reviewed by the mortality review triage team according to policy. Numerator: Number of unexpected deaths reviewed by the mortality review triage team according to policy. Denominator: Total number of unexpected deaths.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Mortality Review Triage Team

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify:	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
QA/QI Contractor	
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.3 Number and percent of sampled individuals who reported they do not feel afraid or scared in their home or day program. Numerator: Number of sampled individuals who reported they do not feel afraid or scared in their own home or day program. Denominator: Total number of sampled individuals who responded.

Data Source (Select one):
Other
If 'Other' is selected, specify:
National Core Indicators (NCI)

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

		Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.1 Number and percent of substantiated complaint allegations of abuse, neglect, or exploitation (ANE) where the corrective action was implemented. Numerator: Number of substantiated complaint allegations of ANE where the corrective action was implemented. Denominator: Total number of substantiated complaint allegations of ANE requiring corrective action.

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

Responsible Party for	**Frequency of data**	**Sampling Approach**

data collection/generation *(check each that applies):*	**collection/generation** *(check each that applies):*	*(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☒ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.***

Performance Measures

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

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

Performance Measure:
G.8 Number and percent of reported incidents that were resolved within the stipulated time period. Numerator: Number of reported incidents resolved within the stipulated time period. Denominator: Total number of incidents reported.

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

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

☒ **Other** Specify: QA/QI Contractor	☐ **Annually**	☐ **Stratified** Describe Group:
	☒ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.6 Number and percent of incidents that were reported within the required time period. Numerator: Number of incidents that were reported within the required time period. Denominator: Total number of incident reports submitted.

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify:	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
QA/QI Contractor	
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.7 Number and percent of individuals enrolled in the waiver with 3 or less critical incidents within the last 365 days. Numerator: Number of individuals enrolled in the waiver with 3 or less critical incidents within the last 365 days. Denominator: Total number of individuals enrolled in the waiver.

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

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

	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

c. ***Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.***

Performance Measures

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

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

Performance Measure:
G/R.1 Number and percent of reported uses of restraints by staff that did not result in medical treatment. Numerator: Number of reported uses of restraints by staff that did not result in medical treatment. Denominator: Total number of reported uses of

restraints by staff.

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G/R.2 Number and percent of restraints implemented by staff that were in accordance with state regulations and policy. Numerator: Number of restraints implemented by staff that were in accordance with state regulations and policy. Denominator: Total number of restraints implemented by staff.

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

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.9 Number and percent of reported incidents by staff that were not coded as a prohibitive intervention (i.e. seclusion, aversive technique, prone restraint, etc.). Numerator: Number of reported incidents by staff not coded as a prohibitive intervention. Denominator: Total number of reported incidents by staff.

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

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other** Specify: QA/QI Contractor	☐ **Annually**
	☒ **Continuously and Ongoing**
	☐ **Other**

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

d. ***Sub-assurance: The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.***

Performance Measures

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

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

Performance Measure:
G.12 Number and percent of sampled individuals who report having a complete physical exam in the past year. Numerator: Number of sampled individuals who report having a complete physical exam in the past year. Denominator: Total number of sampled individuals who responded.

Data Source (Select one):
Other
If 'Other' is selected, specify:
National Core Indicators (NCI)

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

Specify: NCI Survey Contractor		Describe Group:
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.13 Number and percent of sampled individuals indicating their health care needs are being addressed. Numerator: Number of sampled individuals indicating their current health care needs are being addressed. Denominator: Total number of

sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Electronic case management database

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.11 Number and percent of sampled individuals who report having a primary doctor or practitioner. Numerator: Number of sampled individuals who report having a primary doctor or practitioner. Denominator: Total number of sampled individuals.

Data Source (Select one):
Other
If 'Other' is selected, specify:
National Core Indicators (NCI)

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

NCI Survey Contractor		
	☒ **Continuously and Ongoing**	☒ **Other** Specify: Representative Sample; Confidence Interval = 95%; Proportional and stratified across state districts
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☒ **Other** Specify: NCI Survey Contractor	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
G.10 Number and percent of medication errors by staff that did not result in medical treatment. Numerator: Number of medication errors by staff that did not result in medical treatment. Denominator: Total number of medication errors by staff.

Data Source (Select one):

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Other**	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
Specify: QA/QI Contractor	
	☒ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

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

HCBS waiver providers are responsible for taking appropriate and effective measures to secure the participant's immediate safety, implementing preventative measures, and investigating reported incidents. Additionally, HCBS waiver providers are responsible for following up on all reported incidents, regardless of incident type or severity.

Bureau of Disabilities Services (BDS) is responsible for the oversight of the incident reporting system, which includes receiving and evaluating all incident reports. Incident reviewers use the web-based complaint and incident reporting systems to evaluate each of the incident reports to determine whether or not the provider has taken appropriate and sufficient actions to remedy the situation, prevent chances for reoccurrence, and to assure the participant's immediate safety.

Case managers enter follow-up reports into the State's web-based incident management system at minimum every seven calendar days until the incident is closed. BDS QA/QI contractor's incident management staff review these follow-up reports to determine: 1) whether the individual's immediate safety has been secured, and 2) that plans are in place to prevent reoccurrences. Only when both of these criteria are satisfied will the BDS QA/QI contractor's incident management staff close the incident report.

The BDS QA/QI contractor submits a weekly report of unresolved critical events to BDS and BDS executive staff. All incident information is uploaded to the case management system and cases with open incidents display a message to facilitate follow-up.

In emergency situations, Indiana Administrative Code gives the State the authority to remove an individual from the provider's services, issue a moratorium on the provider taking new participants, and/or to terminate the provider's agreement to provide waiver services. The State also has the authority to issue civil sanctions. The DDRS sanctions committee (consisting of BDS and members of DDRS executive leadership) recommends to the DDRS director specific sanctions to be issued against providers. The DDRS director then communicates this decision to the provider.

Systemic incident reporting data is routinely analyzed for quality improvement purposes in QIEC meetings. Remediation resulting from these meetings has included issuing new and revising current policies.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☒ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix H: Quality Improvement Strategy (1 of 3)

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

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

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

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

Quality Improvement Strategy: Minimum Components

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

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

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

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

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

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

Appendix H: Quality Improvement Strategy (2 of 3)

H-1: Systems Improvement

a. System Improvements

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

The foundation of an effective quality improvement strategy is the capability to compile and analyze meaningful data across the program so that issues can be identified and addressed. The Division of Disability and Rehabilitative Services (DDRS) uses a centralized IT system to administer the day-to-day operations of the waiver program. DDRS has made, and continues to make, many efforts to ensure that the information it collects from each of its monitoring activities can be aggregated so that provider-specific and systemic data can be reviewed. DDRS uses a multi-tier strategy for collecting and addressing person-specific, provider-specific, and systemic trends.

Tier I

This tier focuses on ensuring that concerns by or on behalf of an individual are identified and addressed timely and appropriately. Case managers are responsible for monitoring services, advocating with the individual, and following-up on issues identified through their routine contacts with the individual. Case managers also take a lead role in facilitating individualized support team (IST) meetings while supporting the individual to lead their meeting to the best of their ability. The case manager and individual meet at least every 90 calendar days, and the IST meet at least semiannually and annually. The IST is responsible for reviewing documentation and discussing if an individual's outcomes are being met, whether the Person-Centered Individualized Support Plan (PCISP) is effective or if it should be revised, whether any needed behavior plan/risk plan is being implemented accurately, and if further staff training is necessary.

Information gathered by the ISTs which may be used to make decisions include:
- Data from the case manager's required IST meetings where a full assessment of the individual's service implementation is conducted;
- Service providers' quarterly summaries;
- Incident reports;
- Complaint investigations; and
- Quality On-site Provider Reviews

Tier II

In this tier, data is aggregated systemically and reviewed at the State level. The Quality Improvement Executive Committee (QIEC) meets on a quarterly basis to review data collected from the performance measures for the CIH and FSW waivers. Each meeting is dedicated to a defined set of performance measures. At each QIEC meeting, the data team develops and presents a report with the data obtained in the time period being covered (typically in the form of charts and graphs), along with analysis, and remedial steps taken thus far to address areas with issues. The group then discusses the data and systemic remediation that DDRS should take to improve the quality of services being delivered and participants' health outcomes.

Following QIEC meetings the report presented to the committee is updated with any further systemic remediation plans that were discussed. The state team ensures that these remediation plans are implemented and then follows up with those performance measure reports at the next QIEC meeting.

Examples of systemic improvements the QIEC has made include: revising DDRS provider policies, educating providers/ individuals with intellectual disabilities, and their families on key health and safety issues, revising the information required to report an incident, and collaborating with provider groups to obtain better training for direct care staff. In collaboration with the Office of Medicaid Policy and Planning (OMPP), DDRS shares the data reviewed and remediation actions taken with CMS in the annual CMS-372 reports and in periodic evidence-based reports.

QIEC membership from entities within the Family and Social Services Administration (FSSA) consists of:

- Bureau of Disabilities Services (BDS) chief program officer
- BDS provider services representative
- BDS special projects director/vendor management
- BDS case management liaison
- OMPP representative
- BDS Home and community-based services (HCBS) policy analyst

• BDS QA/QI contractor
• BDS data analyst

DDRS participates in the National Core Indicators (NCI) project to obtain individuals with disabilities perspectives on how the waiver service delivery system is operating overall. These data gathered expand DDRS's quality assurance system. Ongoing, as we collect and analyze Indiana's interview results and make comparisons to other states' performance, we will be better able to identify gaps between NCI data and information gathered through DDRS's other monitoring activities. NCI project data will help DDRS establish priorities and make recommendations for improvement.

While DDRS's routine system to collect and analyze data and make changes is functioning, changes in monitoring activities may be driven by outside forces such as organizational redesigns, legislative demands, and different amounts of funding available. An example of this is the legislature's approval of a bill to add accreditation to the provider qualifications for day program providers. As a result, when a provider shows evidence of an accredited service, BDS adjusts the reverification timelines based on the accreditation term.

DDRS Mortality Review System

An important part of DDRS's quality improvement strategy is the mortality review process. BDS conducts mortality reviews for all deaths of individuals receiving services through FSW and the CIH waivers.

As described in Indiana Administrative Code (460 IAC 6-9-5) on incident reporting, all deaths of individuals receiving DDRS-funded services are required to be reported to the State through the BDS Incident Reporting system. Upon receipt of the death report, BDS's mortality review triage team (MRTT) assesses whether an individual's housemates may be at risk for similar circumstances.

An Others at Risk (OAR) questionnaire is generated and emailed to the provider within twenty-four (24) hours of receipt of death report. A score is generated and if red, the MRTT will determine if an expedited death review or complaint review should be completed. If it is determined that a home site visit is needed, the BDS QA/QI contractor will complete an information sheet that includes demographics, documents needed and reason for the visit. The BDS District Office will visit the home in which the individual resided to gather the requested information. If a complaint investigation is warranted the BDS QA/QI contractor may conduct the site visit. For example, if someone died due to choking, a BDS representative would go to the participant's home to assess staff performance in adhering to risk plans related to choking. If an issue was identified, the provider would be directed to complete a corrective action plan (CAP), which would include immediate staff training related to risk plans. BDS validates implementation of all CAPs, and noncompliant providers may be referred to the DDRS sanctions committee.

Per 460 IAC 6-25-10 Investigation of Death, the provider identified in a individual's PCISP as responsible for the health care of the individual is required to conduct internal investigations of participant deaths. The DDRS mortality review policy describes all the specific documentation that providers need to review as part of their internal investigation process. Providers send completed internal mortality investigations, along with the individual's medical history and other related documentation to the BDS's MRTT. The MRTT reviews all deaths. Discussions include the events prior to the death, supports/services in place at the time of death, and whether additional documentation is needed for review. The MRTT also determines whether each death meets criteria to be brought before the mortality review committee (MRC). The BDS director or any other DDRS staff with a concern can also refer deaths to the MRC.

The MRC is facilitated by the BDS QA/QI contractor. Committee members include representatives from BDS Central Office, Adult Protective Services (APS), the Department of Health, OMPP, Indiana coroner's association, Statewide waiver ombudsman, BDS field service staff, and community advocates.

Based on its discussion, the MRC makes recommendations for systemic improvements such as developing new policy, revising policy, training, or sharing key information. The MRC also makes provider-specific recommendations for BDS to review key areas of a provider's system that appear to have not been in place or to

have been ineffective at the time of an individual's death. Providers may be required to develop CAPs to address identified issues and to prevent other individuals from experiencing negative outcomes.

To date, the communication topics have included Coumadin monitoring, malfunctioning feeding tubes, choking versus aspiration, pain management, medication administration, healthcare coordination, staff training on risk plans, and the fatal four in individuals with developmental and intellectual disabilities.

ii. System Improvement Activities

Responsible Party*(check each that applies):*	**Frequency of Monitoring and Analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☒ **Quality Improvement Committee**	☐ **Annually**
☐ **Other** Specify:	☐ **Other** Specify:

b. System Design Changes

i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the state's targeted standards for systems improvement.

DDRS uses a centralized IT system to monitor its HCBS waiver programs and to identify systemic changes necessary for improving the quality of participants' services and supports. DDRS management and OMPP representatives participate in the routine QIEC DDRS leadership meetings to review data collected from monitoring systems and to assess monitoring activities' effectiveness in producing positive changes for individuals receiving waiver services.

Different positions play a role and have a responsibility in the processes for monitoring and assessing effectiveness of system design changes. These include:

• Case managers have the front-line responsibility for overseeing the delivery of waiver services. They are responsible for conducting a minimum of four visits with the participant each year, coordinating and facilitating IST meetings as necessary, and identifying and resolving issues with service delivery. Case managers have the potential to identify the effectiveness of system design changes by how the participants they work with are impacted.
• BDS-contracted complaint investigators are continually in the field following up on allegations that participants' health and welfare may be in jeopardy. Aggregated information and analysis compared from one quarter to the next is shared in BDS's quarterly reports and is discussed in DDRS leadership meetings.
• BDS-contracted incident management staff are responsible for reviewing and coding all incident reports as they are submitted into the State's web-based system. Similar to information on complaint investigations, incident data is aggregated and analyzed in BDS's quarterly reports and discussed in QIEC and DDRS leadership meetings.
• Designated staff from the BDS QA/QI contractor conduct case record reviews to assess whether PCISPs have been developed according to the state's standards for PCISPs.
• The division will review service requests and make a determination based on the person-centered plan and the individualized needs of the individual on a case-by-case basis. Limitations may be set by the division if consistent with waiver, state, and federal authority.

Data is aggregated and routinely discussed in QIEC meetings.

ii. Describe the process to periodically evaluate, as appropriate, the quality improvement strategy.

Quality improvement strategies are living documents that result from an ongoing process of review and refinement. Necessary changes to DDRS's monitoring systems are identified through the continual review and analysis of data in QIEC and DDRS leadership meetings. Over the past few years DDRS has focused its resources on ensuring that we have the processes in place to collect data on our most basic assurances and that these processes are working effectively.

As needed, DDRS will submit modifications to the quality improvement strategy annually with the 372 report.

Appendix H: Quality Improvement Strategy (3 of 3)

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

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

- ○ **No**
- ◉ **Yes** *(Complete item H.2b)*

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

- ○ **HCBS CAHPS Survey :**
- ◉ **NCI Survey :**
- ○ **NCI AD Survey :**
- ○ **Other** *(Please provide a description of the survey tool used):*

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability

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

FSSA PI has an agreement with the FSSA Audit Unit to investigate allegations of potential HCBS waiver provider fraud, waste, and abuse. PI and FSSA Audit maintain a natural level of collaboration and cooperation between the two groups. FSSA Audit's staff are knowledgeable of the different HCBS definitions, documentation standards, provider qualifications, and any required staffing ratios so it makes sense for them to audit allegations of wrongdoing in the waiver programs. The state does not require providers to secure an independent audit of their financial statements.

Select analytics are periodically rerun in an attempt to identify if provider billing patterns have changed/improved based on previous audit and/or provider education. Additional audit action may be taken for providers who continue to be identified as potential issues in these algorithms. If providers are again selected for audit, a similar audit process as previously described would occur.

Process for Conducting Audits:
PI receives allegations of provider fraud, waste, and abuse and tracks these in its case management system. When it receives an allegation regarding a waiver provider, PI forwards it to FSSA Audit to begin their research and audit process. FSSA Audit works with PI to vet the providers with the Indiana Medicaid Fraud Control Unit (MFCU). Once it receives MFCU's clearance FSSA Audit determines how to best validate the accuracy of the allegation.

FSSA Audit may decide to conduct a statistically valid random sample of consumers and then PI's Fraud & Abuse Detection System (FADS) vendor will pull a sample for their audit. The size of a random sample audit is dependent on the universe(s) size, claim/claim line payments, and other statistical criteria. The sample size is ultimately determined utilizing a tool developed by FADS contractors as well as their statistical consultants. Depending on the concerns identified during the risk assessment FADS will recommend an approach and/or scope for the audit:

Targeted Probe Audit Sample – A sample of sufficiently small size designed to focus on specific services, members, time frames, or other scenarios that have been identified as higher risk for fraud, waste, and/or abuse to determine potential outcomes of audit findings or payment error issues. If the probe identifies material issues, statistical sampling is used to expand the testing and quantify overpayments.

Random Sample Audit – The goal of the random sample is to identify potential payment errors and extrapolate those errors to the entire universe of claims.

FSSA Audits are performed onsite and include a review of:
• Providers' source documents. This include documents that supports paid claims (e.g. employee signed service notes, logs, etc.).
• Payroll records. Dates/times/locations of service per claims are compared to related time cards and payroll registers.
• Employee background and qualifications. Personnel files are reviewed for documentation of criminal background checks, licenses (if applicable), and search of the HHS/OIG exclusions list.

FSSA Audit conducts its audit activities and develops a findings report containing accuracy-related issues, missing documentation, internal control deficiencies, and training issues. Providers submit corrective action plans. Any overpayments are set up for recoupment. Audit reports are distributed to provider leadership and appropriate FSSA executives. Periodically, PI is advised of any systemic issues identified. FSSA Audit Services seeks PI's advice on audit reporting and direction on technical questions.

For audits performed based on referrals such as incorrect billing, the reporting varies. If the audit finds the provider made unintentional errors, the typical audit reporting process is followed. However, if the referred audit identifies potential, intentional errors that may be credible allegations of fraud, the provider is referred to PI for further action.

The FSSA PI section utilizes a Provider Peer Comparison Tool (J-SURS) which compares providers to peers of like specialty to identify outliers to conduct on-going monitoring of IHCP providers. At a minimum, all provider types are profiled yearly, while higher-risk provider types are profiled on a quarterly basis. The results of the profiles are reviewed by PI staff to determine which providers may need further investigation and these results are discussed in weekly team meetings with PI's Fraud Abuse and Detection (FADS) group.

PI regularly utilize random-sampling and extrapolation in conducting audits of IHCP providers; however, the approach and sampling is determined by the allegation necessitating the audit. The frequency of utilizing this approach is fluid, based upon the providers in queue for audit as well as the proposed audits included in the yearly FADS Audit Workplans. If the audit has a narrow scope the review will be conducted on all identified claims. If the issue involves a large number of

claims, or if the review is a provider-focused, comprehensive review, PI has the ability to utilize statistically-valid random sampling and extrapolation to determine any potential overpayments from the IHCP.

PI audits include a review of provider records to ensure compliance with applicable state and federal guidelines, as well as policies published by the IHCP. Review scope may vary depending on provider type/specialty and/or concerns/allegations identified. At a minimum, the review includes:
• Compliance with applicable documentation requirements. This may include documents such as reconciliation of the records to timesheet and/or other payroll records, vehicle insurance (e.g., transportation providers), etc.
• Employee background and qualifications. This may include a review of personnel files for documentation of licenses (if applicable), TB test records, etc.

For each review, PI prepares a detailed claim-level review checklist that lists all claims included in the review, outlines the scope of the review, and identifies all findings or educational items noted during the review.
FADS investigations/audits can be initiated based on referrals received from different sources/agencies. PI receives information from the following sources which could potentially lead to additional action including audit action:
1 .IHCP Provider and Member Concerns Line;
2. Other agencies (MFCU);
3. Analyses/Analytics performed by the PI Investigations team
4. Analytics performed by FADS contractors.

Depending on the allegations/information received regarding the provider(s), PI may conduct a Preliminary Investigation, utilizing the Credible Allegation of Fraud (CAF) tool developed by FADS contractors to determine next steps.

In certain instances, PI refers the provider(s) in question to FADS contractors for additional analysis which may include performing a Risk Assessment. The Risk Assessment tool, developed by FADS contractors, is utilized to gather information on a specific provider's background as well as billing patterns utilizing claims data and other research databases, focusing on any potential issues identified during the referral process. FADS contractors utilize this tool to assist in the decision making process when recommending the next appropriate action to be taken for the provider(s) in question.

There are differences in post-payment review methods, scope and frequency based upon audit type, provider type/specialty, background information, and state rules/regulations. PI can audit IHCP providers either through a narrow scope in which all identified claims are reviewed or a provider-specific full review. PI has the ability to utilize statistically-valid random sampling and extrapolation to determine any potential overpayments from the IHCP.

The providers are notified of the potential errors upon receipt of the Draft Audit Findings letter, where no medical records are reviewed prior to identification of the problematic claims. If PI decides to conduct a more comprehensive review of an IHCP provider, PI request a full medical record review. The audit can be conducted through a medical record request desk audit, or as an on-site review. The on-site audit can be announced or unannounced, based upon the circumstances behind the audit recommendation.

Depending on multiple factors, risk assessments typically result in one of the following recommended actions (dependent upon the severity of the allegations and other information uncovered during the risk assessment):
• No further action – No issues uncovered warranting further action.
• Provider education – No major issues identified that would result in patient harm or overpayments; however, it may be apparent that the provider as well as the Medicaid Program would benefit from additional education for the provider on proper/best billing practices.
• Provider self-audit – Specific concern(s) were identified resulting in a recommended limited-scope audit; however, the concern(s) are in an area which the State is comfortable with the provider conducting the audit to ensure compliance. FADS contractors subsequently perform validation review of the provider self-audit results. If FADS contractors determine they are not in agreement with a high percentage of the provider's self-audit results during the validation review, they will recommend the audit be escalated to a desk review and all records within the provider self- audit sample are evaluated by the contractor.
• Provider desk audit – Concern(s) were identified resulting in the need for medical record review (could be full or limited scope). However, the severity of the concerns do not currently warrant an on-site review. Certain provider records, including medical records, are requested for selected claims and clinical staff (if necessary) conduct a review of the services billed to ensure compliance with IHCP guidelines. Providers are allowed thirty (30) days to submit the requested information.
• Provider on-site audit (announced or unannounced) – Severity of the concern(s) has resulted in a recommendation of an

on-site audit. Providers are generally given shorter notice (or no notice if warranted) of the pending on-site audit. If notice is provided, it can range from a few days to a few weeks depending on several factors (i.e., type of facility, audit concerns, etc.). Requested information is collected on-site. A facility tour as well as provider/staff interviews are also conducted during on-site reviews. FADS contractors, including clinical staff, are included in on-site reviews and assist with conducting interviews. State Program Integrity personnel often also participate in on-site reviews.
• Referral to MFCU – Payment suspension recommended as the potential intent of fraudulent behavior was identified. Depending on the allegations/information received regarding the provider(s), the SUR Unit may conduct a Preliminary Investigation, utilizing the Credible Allegation of Fraud (CAF) tool developed by FADS contractors to determine the appropriate next steps, if any.

Under the provisions of the Single Audit Act as amended by the Single Audit Act Amendments of 1996, the State of Indiana utilizes the Indiana State Board of Accounts to conduct the independent audit of state agencies, including the Indiana FSSA Compliance office. FSSA Compliance routinely monitors audit resolution and provides annual status updates to SBOA.

APPENDIX I-1: FINANCIAL INTEGRITY AND ACCOUNTABILITY IS CONTINUED IN THE MAIN MODULE: ADDITIONAL NEEDED INFORMATION (OPTIONAL)

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

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

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

i. Sub-Assurances:

a. Sub-assurance: The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.
(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)

Performance Measures

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

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

Performance Measure:
I.1 Number and percent of claims paid for individuals enrolled in the waiver on the date the service was delivered. Numerator: Number of claims paid for individuals enrolled in the waiver on the date the service was delivered. Denominator: Total number of claims submitted.

Data Source *(Select one):*
Other
If 'Other' is selected, specify:
Medicaid Management Information System claims data

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	***Frequency of data aggregation and analysis****(check each that applies):*
☒ ***State Medicaid Agency***	☐ ***Weekly***
☐ ***Operating Agency***	☐ ***Monthly***
☐ ***Sub-State Entity***	☒ ***Quarterly***
☐ ***Other*** *Specify:*	☐ ***Annually***

Responsible Party for data aggregation and analysis *(check each that applies):*	***Frequency of data aggregation and analysis****(check each that applies):*
	☐ ***Continuously and Ongoing***
	☐ ***Other*** *Specify:*

Performance Measure:
I.2 Number and percent of claims paid for services that are specified in the individual's approved PCISP. Numerator: Number of claims paid during review period due to service having been identified on the approved PCISP. Denominator: Total number of claims submitted during the review period.

Data Source *(Select one):*
Other
If 'Other' is selected, specify:
Medicaid Management Information System claims data

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

	Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	***Frequency of data aggregation and analysis****(check each that applies):*
☒ ***State Medicaid Agency***	☐ ***Weekly***
☐ ***Operating Agency***	☐ ***Monthly***
☐ ***Sub-State Entity***	☒ ***Quarterly***
☐ ***Other*** *Specify:*	☐ ***Annually***
	☒ ***Continuously and Ongoing***
	☐ ***Other*** *Specify:*

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

Performance Measures

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

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

Performance Measure:
I.3 Number and percent of rates for waiver services adhering to reimbursement methodology in the approved waiver. Numerator: Number of waiver rates that follow the approved methodology. Denominator: Total number of waiver rates.

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	***Frequency of data aggregation and analysis****(check each that applies):*
☒ ***State Medicaid Agency***	☐ ***Weekly***
☐ ***Operating Agency***	☐ ***Monthly***
☐ ***Sub-State Entity***	☒ ***Quarterly***
☐ ***Other*** *Specify:*	☐ ***Annually***

Responsible Party for data aggregation and analysis *(check each that applies):*	***Frequency of data aggregation and analysis****(check each that applies):*
	☐ ***Continuously and Ongoing***
	☐ ***Other*** *Specify:*

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

The State assures financial accountability through a systematic approach to the review and approval of services that are specifically coded as waiver services within the waiver case management system and the MMIS. The MMIS links to the waiver case management system in order to ensure that only properly coded services, that are approved in an individual's plan of care, are processed for reimbursement to providers who are enrolled Medicaid Community Integration and Habilitation Waiver providers.

b. Methods for Remediation/Fixing Individual Problems

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

I.1 and I.2 Claims reimbursement issues may be identified by a case manager, the public, a provider, contractor, or FSSA staff.

For individual cases, FSSA's Operations division and/or the Medicaid Fiscal Agent, FSSA's Provider Relations staff, or FSSA's Office of Compliance, address the problem to resolution. This may include individual provider training, recoupment of inappropriately paid monies and if warranted, placing the provider on prepayment review monitoring for future claims submissions. If there is a billing issue involving multiple providers, FSSA will work with the Medicaid Fiscal Agent and/or FSSA's SUR unit within the Office of Compliance, to produce an educational clarification bulletin and/or conduct training to resolve billing issues.

If the issue is identified as a systems issue, the FSSA's Division of Healthcare Strategies and Technology will extract pertinent claims data to verify the problem and determine correction needed.

If the problem indicates a larger systemic issue, it is referred to the Change Control Board for a systems fix.

Each party responsible for addressing individual problems maintains documentation of the issue and the individual resolution. Meeting minutes are maintained as applicable. Depending on the magnitude of the issue, it may be resolved directly with the provider or the participant.

I.3 Financial records will be used to verify that reimbursement for services is paid at the approved rate, and therefore, using the approved rate methodology.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	***Frequency of data aggregation and analysis*** *(check each that applies):*
☒ ***State Medicaid Agency***	☐ ***Weekly***
☐ ***Operating Agency***	☐ ***Monthly***
☐ ***Sub-State Entity***	☒ ***Quarterly***
☐ ***Other***	☐ ***Annually***

Responsible Party*(check each that applies):*	***Frequency of data aggregation and analysis*** *(check each that applies):*
Specify:	
	☒ ***Continuously and Ongoing***
	☐ ***Other*** *Specify:*

c. Timelines

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

◉ ***No***

○ ***Yes***

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

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

a. Rate Determination Methods. *In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).*

The state will review rates every five years. The last review occurred during SFY 2023 and included robust stakeholder engagement and analysis to understand underlying costs for current services, and to assess and assure access and quality. For most services, a traditional cost model build-up was used, while for others listed in Appendix I-2-a, a market-based approach was used. After the review, proposed rate increases were approved by the legislature and implemented July 1, 2023.

In state fiscal year (SFY) 2023, Indiana's Family and Social Services Administration (FSSA) completed a rate review (rate study) for the Community Integration and Habilitation (CIH) waiver. FSSA conducted a provider survey to capture the current provider experience of delivering the applicable waiver services, service specific work groups, and all provider meetings. The SFY 2023 rate review process was conducted by FSSA in partnership with a contractor (Milliman, Inc.). Milliman's analysis and stakeholder engagement activities were reviewed and approved by FSSA at each step of the process. All analysis was reviewed by FSSA, and proposed rates were developed with their input and guidance. Proposed rates were presented for legislative review and approval and exposed for public notice and tribal review.

Data sources: To develop revised payment rates, FSSA used the following primary data sources:
• Bureau of Labor Statistics (BLS) data – Data elements from the BLS incorporated in the rates include Indiana wage data for applicable occupation codes, healthcare industry benefits, and healthcare wages, which were used to project the costs out to the effective rate period.
• Provider survey data – Data collected from providers informed public source gaps and provided corroborating support for key BLS inputs. FSSA collected provider surveys related to provider costs (for employee salaries, benefits, administration and program support), average wages per hour, staffing information (such as number of employees relative to participants served, and the average number of service hours per employee), mileage, and operational structure.
• Service specific workgroups – Service specific stakeholder meetings were held to contextualize provider survey information and to further capture the provider experience with hiring/retaining staff, delivering services, and sufficiency of current payment rates.
• Other public and proprietary data sources – Other data sources were used to develop assumptions in the rate models, including but not limited to, transportation mileage reimbursement, fleet vehicle costs, and food costs (limited to adult day).

Methodologies: To develop prospective payment rate methodologies for the Division of Disability and Rehabilitative Services (DDRS) waiver program services, FSSA selected the following approaches:
• Traditional cost model build-up – This approach reflects the program-related cost per unit of providing each covered service. The foundation of this model is the labor cost per unit, which includes projected wages and benefits costs, allocated to the service unit level. Administration and program support costs are calculated as a percentage of the labor cost per unit component. Select services also include "other" cost components for unique requirements such as food for adult day services or on-call expenses for behavior management services. All services using this build-up approach have supporting rate models.

Key default rate inputs under this approach were as follows:
- Direct care staff and supervisory wages: based on BLS Indiana wages and percentiles, but were also informed by provider surveys and stakeholder feedback
- Wage inflation: based on changes in Consumer Price Index (CPI) for employment earnings of medical professionals
- Training and Paid Time Off (PTO) factors: training and PTO ranges between 60 and 70 hours per employee per year
- Benefits factor ("employee related expenses" or ERE): varies by wages and is based on BLS national benchmarks for insurance costs as well as federal and state taxes
- Administration and program support factor: 15% combined administration and program support factor
- Indirect service time: ranges between 1 minute and 3 minutes per 15-minute unit for timed individual services
- Staffing ratios: group services vary by staffing ratios that align with group service standards; group services include structured day program and adult day
- Caseload size: case management services reflect a waiver specific caseload size
- Transportation: some services include mileage for onsite staff travel or reimbursement for a fleet

CIH services for which the state's traditional cost model build-up methodology applies as of 07/01/2024:
• Adult Day Services
• Behavioral Support Services

• Career Exploration and Planning
• Case Management
• Day Habilitation
• Extended Services
• Facility Based Supports
• Home Modification Assessment
• Intensive Behavioral Intervention
• Remote Supports (was Electronic Monitoring)
• Music Therapy
• Occupational Therapy
• Physical Therapy
• Prevocational Services
• Psychological Therapy
• Recreational Therapy
• Residential Habilitation & Support (hourly)
• Residential Habilitation & Support–Daily (RHS Daily)
• Respite
• Speech/Language Therapy
• Structured Family Caregiving
• Transportation
• Wellness Coordination
• Workplace Assistance

• Market-based approach – Based on market prices (up to an annual or lifetime limit) or commercial benchmarks for Community Transition, Home Modifications, Family and Caregiver Training, Personal Emergency Response System, Rent and Food for Unrelated Live-in Caregiver, Specialized Medical Equipment and Supplies (SMES) , and Vehicle Modifications (VMODs). Requested items/units under VMODs and SMES continue to be presented to DDRS for prior approval accompanied by three bids prepared by DDRS-approved vendors specializing in provision of the requested item(s) and representing current market costs. Home Modifications exceeding $1000 require two bids prepared by DDRS-approved vendors specializing in provision of these modifications and representing current market costs be presented to DDRS for prior approval.

FSSA retains final authority for rate setting and coverage criteria for all Medicaid services, including provider rates, the basis for any activities reimbursed through administrative funds, and state plan services provided to waiver participants.

Additionally, the Medicaid agency now solicits public input on rate determination methods through collaboration with industry leaders in the collection and review of costs associated with the various service components. At any time, public comments may be received via the BDS Helpline at BDSHelp@fssa.in.gov.

Information about payment rates is made available to waiver participants by their Case Manager. Current rates are continuously posted in the IHCP module located on the OMPP website at:
http://www.in.gov/medicaid/providers/files/modules/ddrs-hcbs-waivers.pdf
Prior to any rate changes, a bulletin of the rates is posted to IndianaMedicaid.com to advise providers of the rate changes. Once the changes occur, manuals are updated regularly to reflect the changed rates.

b. Flow of Billings. *Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the state's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:*

Claims for waiver services flow directly from the providers to the Indiana Medicaid Management Information System and payments are made via Medicaid's contracted fiscal agent.

The State implemented an Electronic Visit Verification (EVV) system, known as the Sandata EVV System, that complies with the requirements of the federal 21st Century Cures Act. The IHCP CoreMMIS claim-processing system has been configured to integrate with the Sandata EVV system.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

c. Certifying Public Expenditures *(select one):*

- (●) ***No. state or local government agencies do not certify expenditures for waiver services.***
- ( ) ***Yes. state or local government agencies directly expend funds for part or all of the cost of waiver services and certify their state government expenditures (CPE) in lieu of billing that amount to Medicaid.***

Select at least one:

☐ ***Certified Public Expenditures (CPE) of State Public Agencies.***

Specify: (a) the state government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR § 433.51(b).(Indicate source of revenue for CPEs in Item I-4-a.)

☐ ***Certified Public Expenditures (CPE) of Local Government Agencies.***

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR § 433.51(b). (Indicate source of revenue for CPEs in Item I-4-b.)

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

d. Billing Validation Process. *Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:*

a) and b) As explained in Appendix D the Person-Centered Individualized Support Plan (PCISP) contains only those services that are available under the Community Integration and Habilitation Waiver.

FSSA/DDRS Waiver Services Unit approves a participant's PCISP within the State's case management application database ensuring that only those services which are necessary and reimbursable under the Community Integration and Habilitation Waiver and that appear on the PCISP. The PCISP is sent to the state's fiscal agent and entered into the MMIS serving as the prior authorization for all Community Integration and Habilitation Waiver services. The case management data system will not allow the addition of services beyond those services offered under the Community Integration and Habilitation Waiver. The case management data system has been programmed to alert the DDRS waiver services staff when a PCISP is being reviewed for a participant whose Medicaid eligibility status is not currently open within an acceptable category as was discussed under Appendix B-4-b. When the appropriate Medicaid eligibility status is in place, and the PCISP is approved, the system generates a Service Authorization/Notice of Action (SA/NOA), which is sent to each authorized provider of services on the Plan. The SA/NOA identifies the individual service recipient (the participant), the service that each provider is approved to deliver, and the rate at which the provider may bill for the service.

The case management database transmits data (typically each business night) containing all new or modified PCISP service and rate information to the Indiana MMIS. The PCISP data is utilized by the MMIS as the basis to create or modify Prior Authorization fields for billing of services against Medicaid waiver participants.

Providers submit electronic (or paper) claims directly to the MMIS. Claims are submitted with date(s) of service, service code, and billing amount. Reimbursements are only authorized and made in accordance with the Prior Authorization data. The MMIS also confirms that the waiver participant had the necessary Level of Care and Medicaid eligibility for all dates of service being claimed against.

c) Documentation and verification of service delivery consistent with paid claims is reviewed during the look behind efforts of the FSSA's BDS as well as by the FSSA's Operations and FSSA's SUR Unit when executing Surveillance Utilization (SUR) activities.

In summary, the participants eligibility for Medicaid and eligibility for approved dates of service are controlled through the electronic case management database system which is linked to Medicaid’s claims system. All services are approved within these systems by FSSA's DDRS. As part of the 90 day review, the case manager verifies with participant the appropriateness of services and monitors for delivery of service as prescribed in the plan of care.

Modifications to the plan of care are made as necessary.

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

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

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

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

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

○ ***Payments for waiver services are not made through an approved MMIS.***

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

○ ***Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.***

Describe how payments are made to the managed care entity or entities:

Appendix I: Financial Accountability

I-3: Payment (2 of 7)

b. Direct payment. *In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (select at least one):*

☐ ***The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.***

☒ ***The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.***

☐ ***The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.***

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

☐ ***Providers are paid by a managed care entity or entities for services that are included in the state's contract with the entity.***

Specify how providers are paid for the services (if any) not included in the state's contract with managed care entities.

Appendix I: Financial Accountability

I-3: Payment (3 of 7)

c. Supplemental or Enhanced Payments. *Section 1902(a)(30) requires that payments for services be consistent with*

efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to states for expenditures for services under an approved state plan/waiver. Specify whether supplemental or enhanced payments are made. Select one:

- (●) ***No. The state does not make supplemental or enhanced payments for waiver services.***
- ( ) ***Yes. The state makes supplemental or enhanced payments for waiver services.***

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the state to CMS. Upon request, the state will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

d. Payments to state or Local Government Providers. *Specify whether state or local government providers receive payment for the provision of waiver services.*

- (●) ***No. State or local government providers do not receive payment for waiver services.*** *Do not complete Item I-3-e.*
- ( ) ***Yes. State or local government providers receive payment for waiver services.*** *Complete Item I-3-e.*

Specify the types of state or local government providers that receive payment for waiver services and the services that the state or local government providers furnish:

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. Amount of Payment to State or Local Government Providers.

Specify whether any state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the state recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. Select one:

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

- ( ) ***The amount paid to state or local government providers is the same as the amount paid to private providers of the same service.***
- ( ) ***The amount paid to state or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.***
- ( ) ***The amount paid to state or local government providers differs from the amount paid to private providers of the same service. When a state or local government provider receives payments (including regular and any***

supplemental payments) that in the aggregate exceed the cost of waiver services, the state recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. *Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. Select one:*

- ◉ ***Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.***
- ○ ***Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.***

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the state.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

i. Voluntary Reassignment of Payments to a Governmental Agency. *Select one:*

- ◉ ***No. The state does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.***
- ○ ***Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR § 447.10(e).***

Specify the governmental agency (or agencies) to which reassignment may be made.

ii. Organized Health Care Delivery System. *Select one:*

- ◉ ***No. The state does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR § 447.10.***
- ○ ***Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR § 447.10.***

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of

providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

iii. Contracts with MCOs, PIHPs or PAHPs.

- ◉ ***The state does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.***
- ○ ***The state contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of section 1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency.***

  Describe: (a) the MCOs and/or health plans that furnish services under the provisions of section 1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

- ○ ***This waiver is a part of a concurrent section 1915(b)/section 1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The section 1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.***
- ○ ***This waiver is a part of a concurrent section 1115/section 1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The section 1115 waiver specifies the types of health plans that are used and how payments to these plans are made.***
- ○ ***If the state uses more than one of the above contract authorities for the delivery of waiver services, please select this option.***

  In the text box below, indicate the contract authorities. In addition, if the state contracts with MCOs, PIHPs, or PAHPs under the provisions of section 1915(a)(1) of the Act to furnish waiver services: Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency. Describe: (a) the MCOs and/or health plans that furnish services under the provisions of section 1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (1 of 3)

a. State Level Source(s) of the Non-Federal Share of Computable Waiver Costs. *Specify the state source or sources of the non-federal share of computable waiver costs. Select at least one:*

☒ ***Appropriation of State Tax Revenues to the State Medicaid Agency***

☐ ***Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.***

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the state entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

☐ ***Other State Level Source(s) of Funds.***

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs. *Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. Select One:*

◉ ***Not Applicable***. *There are no local government level sources of funds utilized as the non-federal share.*

○ ***Applicable***

Check each that applies:

☐ ***Appropriation of Local Government Revenues.***

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

☐ ***Other Local Government Level Source(s) of Funds.***

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the state Medicaid agency or fiscal agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. Information Concerning Certain Sources of Funds. *Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. Select one:*

- ◉ ***None of the specified sources of funds contribute to the non-federal share of computable waiver costs***
- ○ ***The following source(s) are used***

  Check each that applies:

  - ☐ ***Health care-related taxes or fees***
  - ☐ ***Provider-related donations***
  - ☐ ***Federal funds***

  For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

I-5: Exclusion of Medicaid Payment for Room and Board

a. Services Furnished in Residential Settings. *Select one:*

- ○ ***No services under this waiver are furnished in residential settings other than the private residence of the individual.***
- ◉ ***As specified in Appendix C, the state furnishes waiver services in residential settings other than the personal home of the individual.***

b. Method for Excluding the Cost of Room and Board Furnished in Residential Settings. *The following describes the methodology that the state uses to exclude Medicaid payment for room and board in residential settings:*

The State of Indiana excludes Medicaid payment for room and board for individuals receiving services under the waiver. Waiver participants are responsible for all room and board costs.

There is no consideration of the cost of room and board in developing the rates. Waiver service providers are paid a fee for each type of direct service provided; no room and board costs are included in these fees.

Based on the method for establishing the fee for each waiver service, the State of Indiana assures that no room and board costs are paid through Medicaid. Indiana provider audit procedures also review provider billing and all allowable costs to further assure no room and board payments are made.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

- ○ ***No. The state does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.***
- ◉ ***Yes. Per 42 CFR § 441.310(a)(2)(ii), the state will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The state describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D***

(cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

a) The State uses the following method to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver.

• Room and board expenses of non-related, live-in caregivers are based on an estimate of the cost of food and housing in typical two and three bedroom apartments. The amount paid for live-in caregiver will be up to the federal benefit level under SSI for an individual living in the home of another, or actual expenses, whichever is the lesser amount

b) This service must be an approved service and included in the Person Centered Individualized Support Plan (PCISP) in order to be reimbursed through the Medicaid MMIS.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

a. Co-Payment Requirements. *Specify whether the state imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. Select one:*

- ◉ ***No. The state does not impose a co-payment or similar charge upon participants for waiver services.***
- ○ ***Yes. The state imposes a co-payment or similar charge upon participants for one or more waiver services.***

i. Co-Pay Arrangement.

Specify the types of co-pay arrangements that are imposed on waiver participants (check each that applies):

Charges Associated with the Provision of Waiver Services *(if any are checked, complete Items I-7-a-ii through I-7-a-iv):*

- ☐ ***Nominal deductible***
- ☐ ***Coinsurance***
- ☐ ***Co-Payment***
- ☐ ***Other charge***

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

a. Co-Payment Requirements.

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

a. Co-Payment Requirements.

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

b. Other State Requirement for Cost Sharing. *Specify whether the state imposes a premium, enrollment fee or similar cost sharing on waiver participants. Select one:*

○ ***No. The state does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.***

◉ ***Yes. The state imposes a premium, enrollment fee or similar cost-sharing arrangement.***

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

MEDWorks members with income between 150% - 350% FPL are responsible for paying a premium based on family size and income; the income standard includes a 50% earned income disregard for all MEDWorks members. Premiums vary from $0 to $254.

The included groups are the MEDWorks members with HCBS waivers with income over 150% FPL.

For 2023, the MEDWorks premiums are:

Family Size 1:
Income standard $1216 - $1822: Premium $0
Income standard $1823 - $2127: Premium $48
Income standard $2128 - $2430: Premium $69
Income standard $2431 - $3038: Premium $107
Income standard $3039 - $3645: Premium $134
Income standard $3646 - $4253: Premium $161
Income standard $4254 and over: Premium $187

Family size 2:
Income standard $1644 - $2465: Premium $0
Income standard $2465 - $2876: Premium $65
Income standard $2877 - $3287: Premium $93
Income standard $3288 - $4109: Premium $145
Income standard $4110 - $4930: Premium $182
Income standard $4931 - $5752: Premium $218
Income standard $5753 and over: Premium $254

**Income of the non-MEDWorks member is not budgeted in the eligibility determination but does apply to the premium calculation.*

Every month, the Premium Vendor sends a bill to MEDWorks members with a premium. The member has 60 days to pay the premium; failure to pay within 60 days can result in the closure of the MEDWorks Medicaid. This results in a 2 year lock out for MEDWorks members. If the member pays the premium in full, the lock out is removed.

MEDWorks members between 101-149% FPL are excluded as are other Medicaid categories with HCBS waivers.

Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. *Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.*

Level(s) of Care: ICF/IID

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	103217.61	11066.05	114283.66	185441.39	11424.27	196865.66	82582.00
2	103217.22	11309.50	114526.72	191190.07	11675.60	202865.67	88338.95
3	103519.22	11558.31	115077.53	197116.96	11932.47	209049.43	93971.90
4	103202.31	11812.59	115014.90	203227.59	12194.98	215422.57	100407.67
5	103214.30	12072.47	115286.77	209527.65	12463.27	221990.92	106704.15

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (1 of 9)

a. Number Of Unduplicated Participants Served. *Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:*

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)
		Level of Care:
		ICF/IID
Year 1	9438	9438
Year 2	9451	9451
Year 3	9475	9475
Year 4	9499	9499
Year 5	9523	9523

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 9)

b. Average Length of Stay. *Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.*

Projected average length of stay was developed based on slot projections. Slot projections reflect actual experience through September 2024 in WY 5 of the fourth renewal. They also assume approximately 37 new entrants and 35 lapses per month Lapses are estimated using a 0.39% monthly historical lapse rate.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 9)

c. Derivation of Estimates for Each Factor. *Provide a narrative description for the derivation of the estimates of the following factors.*

i. Factor D Derivation. *The estimates of Factor D for each waiver year are located in Item J-2-d. The basis and methodology for these estimates is as follows:*

Base Year data reflects experience from Waiver Year (WY) 4 of the fourth renewal: July 16, 2023 – July 15, 2024. The base year data was projected to WY 1 through WY 5 of the fifth renewal in the following manner:

- *The number of users of each service was adjusted based on projected slots.*
- *Average units per user were projected to vary with average length of stay.*
- *Home modification assessment was added as a new service effective July 1, 2024. It is assumed that 55% of assessments lead to home modification, at a cost of $628 per assessment.*
- *Career Exploration and Planning was added as a new service effective July 1, 2024. This service is offered to members age 18-24 for a duration of six months and will replace Prevocational services for these members.*
- *Average cost per unit is projected to remain unchanged.*

Cost per unit trend of 0.0% is utilized as the state does not expect the rates to change after rate review during the renewal period.

2028 is a leap year, and will contain one extra day. As a result, we are projecting a slight increase in length of stay from WY 2 (348 days) to WY 3 (349 days), then return to the WY 2 level in WY 4 (348 days). For many services, we are projecting a corresponding small increase in units per user during WY 3, relative to WY 2 and WY 4.

Estimates of Factor D for each waiver year are illustrated in the cost neutrality summary in Appendix J-1: Composite Overview and Demonstration of Cost-Neutrality Formula.

ii. **Factor D' Derivation.** *The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Base Year data reflects experience from Waiver Year 4 of the fourth renewal: July 16, 2023 – July 15, 2024. Base year data was trended at 2.2% per year to reflect Medical CPI-U over the most recent 5 complete years (rounded).

Estimates of Factor D' for each waiver year are illustrated in the cost neutrality summary in Appendix J-1: Composite Overview and Demonstration of Cost-Neutrality Formula.

iii. **Factor G Derivation.** *The estimates of Factor G for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Base Year data reflects experience from Waiver Year 4 of the fourth renewal: July 16, 2023 – July 15, 2024, for individuals receiving care in the following ICF/IID settings:

- *Comprehensive Rehabilitative Needs Facilities (CRMNFs)*
- *Extensive Support Needs Homes (ESNs)*
- *Extensive Medical Needs Homes (EMNs)*

Factor G from WY 4 was inflated by 5.5% to WY 5 to reflect emerging experience and the start of modernization efforts. Future year cost factors were trended at 3.1% per year. The 3.1% trend was estimated using the average of Medical CPI-U and CPI-U over the most recent 5 complete years (rounded). This trend was applied to the WY 5 Factor G to estimate WY 1 and throughout the renewal period.

Estimates of Factor G for each waiver year are illustrated in the cost neutrality summary in Appendix J-1: Composite Overview and Demonstration of Cost-Neutrality Formula.

iv. **Factor G' Derivation.** *The estimates of Factor G' for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Base Year data reflects experience from Waiver Year 4 of the fourth renewal: July 16, 2023 – July 15, 2024, for individuals receiving care in the following ICF/IID settings:

- *Comprehensive Rehabilitative Needs Facilities (CRMNFs)*
- *Extensive Support Needs Homes (ESNs)*
- *Extensive Medical Needs Homes (EMNs)*

Base year data was trended at 2.2% per year to reflect Medical CPI-U over the most recent 5 complete years (rounded).

Based on analysis of the state plan costs that are utilized for the D' and G' calculations, it was observed that those in the institutional setting have materially higher state plan costs for Prescription Drugs and Outpatient hospital services than those residing in the community. These appear to be the main drivers behind factor D' being less than factor G' for this waiver.

Estimates of Factor G' for each waiver year are illustrated in the cost neutrality summary in Appendix J-1: Composite Overview and Demonstration of Cost-Neutrality Formula.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. *If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select "manage components" to add these components.*

Waiver Services	
Adult Day Services	
Case Management	
Day Habilitation	
Prevocational Services	
Rent and Food for Unrelated Live-in Caregiver	
Residential Habilitation and Support (hourly)	
Respite	
Occupational Therapy	
Physical Therapy	
Psychological Therapy	
Speech /Language Therapy	
Behavioral Support Services (BSS)	
Career Exploration and Planning	
Community Transition	
Extended Services	
Facility Based Support Services	
Family and Caregiver Training	
Home Modification Assessment	
Home Modifications	
Intensive Behavioral Intervention	
Music Therapy	
Personal Emergency Response System	
Recreational Therapy	
Remote Supports	
Residential Habilitation and Support - Daily (RHS Daily)	
Specialized Medical Equipment and Supplies	
Structured Family Caregiving (previously known as Adult Foster Care)	

Waiver Services	
Transportation	
Vehicle Modifications	
Wellness Coordination	
Workplace Assistance	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 9)

d. Estimate of Factor D.

ii. Concurrent section 1915(b)/section 1915(c) waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932(a), Section 1937). *Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.*

Waiver Year: Year 1

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Services Total:							**2310192.96**
Adult Day Service - half day - Level 3	☐	half day	78	233.70	54.71	**997286.71**	
Adult Day Service - 1/4 hour - Level 3	☐	1/4 hour	1	1.00	4.20	**4.20**	
Adult Day Service - 1/4 hour - Level 1	☐	1/4 hour	1	1.00	2.93	**2.93**	
Adult Day Service - 1/4 hour - Level 2	☐	1/4 hour	1	1.00	3.30	**3.30**	
Adult Day Service - half day - Level 2	☐	half day	69	209.30	43.66	**630524.62**	
Adult Day Service - half day - Level 1	☐	half day	70	262.40	37.15	**682371.20**	
Case Management Total:							**20349550.52**
Case Management	☐	month	9406	11.40	189.52	**20321926.37**	
Transitional Case Management	☐	month	45	3.40	180.55	**27624.15**	
Day Habilitation Total:							**55245243.96**
Day Habilitation - Medium	☐	hour	2404	445.00	6.52	**6974965.60**	
Day Habilitation - Large	☐	hour	1179	82.70	4.19	**408538.83**	

GRAND TOTAL:	**974167796.27**
Total: Services included in capitation:	
Total: Services not included in capitation:	974167796.27
Total Estimated Unduplicated Participants:	**9438**
Factor D (Divide total by number of participants):	**103217.61**
Services included in capitation:	
Services not included in capitation:	103217.61
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Day Habilitation - Individual	☐	hour	4597	182.20	36.58	30638434.97	
Day Habilitation - Small	☐	hour	3088	423.50	13.17	17223304.56	
Prevocational Services Total:							3933078.44
Prevocational Services-Medium Group	☐	hour	818	644.70	5.61	2958515.41	
Prevocational Services-Large Group	☐	hour	544	127.80	3.72	258626.30	
Prevocational Services-Small Group	☐	hour	673	99.70	10.67	715936.73	
Rent and Food for Unrelated Live-in Caregiver Total:							12535.00
Rent and Food for Unrelated Live-in Caregiver	☐	month	2	11.50	545.00	12535.00	
Residential Habilitation and Support (hourly) Total:							397240840.23
Level 2 Residential Habilitation and Support - more than 35 hours/week	☐	hour	4346	2850.90	29.85	369841840.29	
Level 1 Residential Habilitation and Support - 35 hours or less/week	☐	hour	1078	731.20	34.76	27398999.94	
Respite Total:							13606651.72
Respite Nursing Care (LPN)	☐	1/4 hour	4	2034.90	13.69	111431.12	
Respite	☐	hour	703	440.20	43.17	13359414.10	
Respite Nursing Care (RN)	☐	1/4 hour	3	2647.30	17.10	135806.49	
Occupational Therapy Total:							5181.12
Occupational Therapy	☐	1/4 hour	3	96.00	17.99	5181.12	
Physical Therapy Total:							18.12
Physical Therapy	☐	1/4 hour	1	1.00	18.12	18.12	
Psychological Therapy Total:							2123.28
Psychological Therapy - Group	☐	1/4 hour	1	1.00	4.81	4.81	
Psychological Therapy - Individual	☐	1/4 hour	1	136.00	15.45	2101.20	
Psychological Therapy - Family	☐	1/4 hour	1	1.00	17.27	17.27	

GRAND TOTAL:	974167796.27
Total: Services included in capitation:	
Total: Services not included in capitation:	974167796.27
Total Estimated Unduplicated Participants:	9438
Factor D (Divide total by number of participants):	103217.61
Services included in capitation:	
Services not included in capitation:	103217.61
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Speech /Language Therapy Total:							**60575.16**
Speech /Language Therapy	☐	1/4 hour	10	334.30	18.12	**60575.16**	
Behavioral Support Services (BSS) Total:							**44883063.36**
Behavior Support Services - Level 2	☐	1/4 hour	6726	352.80	18.56	**44041632.77**	
Behavior Support Services - Level 1	☐	1/4 hour	5597	8.10	18.56	**841430.59**	
Career Exploration and Planning Total:							**107666.40**
Career Exploration and Planning - individual	☐	hour	22	120.00	37.06	**97838.40**	
Career Exploration and Planning - group	☐	hour	6	120.00	13.65	**9828.00**	
Community Transition Total:							**212015.34**
Community Transition	☐	unit	67	1.30	2434.16	**212015.34**	
Extended Services Total:							**1318138.08**
Extended Services	☐	hour	571	44.30	52.11	**1318138.08**	
Facility Based Support Services Total:							**2.51**
Facility Based Support Services	☐	hour	1	1.00	2.51	**2.51**	
Family and Caregiver Training Total:							**30508.93**
Family and Caregiver Training	☐	unit	16	11.60	164.38	**30508.93**	
Home Modification Assessment Total:							**44588.00**
Home Modification Assessment	☐	unit	71	1.00	628.00	**44588.00**	
Home Modifications Total:							**409122.08**
Home Modifications - Install	☐	unit	39	1.10	9411.23	**403741.77**	
Home Modifications-Maintain	☐	unit	6	1.00	893.63	**5361.78**	
Home Modifications - Equipment/Assessment/Inspection	☐	unit	1	1.00	18.53	**18.53**	
Intensive Behavioral Intervention Total:							**144.13**
Intensive Behavior Intervention - Level 1	☐					**104.60**	

GRAND TOTAL:	**974167796.27**
Total: Services included in capitation:	
Total: Services not included in capitation:	974167796.27
Total Estimated Unduplicated Participants:	**9438**
Factor D (Divide total by number of participants):	**103217.61**
Services included in capitation:	
Services not included in capitation:	103217.61
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		hour	1	1.00	104.60		
Intensive Behavior Intervention - Level 2 direct care staff	☐	hour	1	1.00	39.53	39.53	
Music Therapy Total:							5757712.96
Music Therapy	☐	1/4 hour	1691	203.40	16.74	5757712.96	
Personal Emergency Response System Total:							64597.54
Personal Emergency Response System-Install	☐	unit	10	1.00	54.41	544.10	
Personal Emergency Response System-Maintain	☐	unit	124	11.00	46.96	64053.44	
Recreational Therapy Total:							8095522.46
Recreational Therapy	☐	1/4 hour	1314	367.60	16.76	8095522.46	
Remote Supports Total:							5655309.54
Remote Supports	☐	hour	235	1072.90	22.43	5655309.54	
Residential Habilitation and Support - Daily (RHS Daily) Total:							373261920.58
RHS Daily - Algo 3, 3-person	☐	day	599	256.40	233.51	35863306.44	
RHS Daily - Algo 3, 4-person	☐	day	242	256.20	220.82	13690928.33	
RHS Daily - Algo 4, 2-person	☐	day	827	230.90	331.12	63228787.82	
RHS Daily - Algo 3, 2-person	☐	day	417	216.60	237.37	21439780.61	
RHS Daily - Algo 4, 3-person	☐	day	1214	266.30	302.97	97946625.95	
RHS Daily - Algo 4, 4-person	☐	day	537	274.30	280.04	41249639.96	
RHS Daily - Algo 5, 2-person	☐	day	446	232.80	357.38	37106336.54	
RHS Daily - Algo 5, 4-person	☐	day	223	229.70	298.60	15295217.66	
RHS Daily - Algo 5, 3-person	☐	day	558	255.80	332.37	47441297.27	
Specialized Medical Equipment and Supplies Total:							75275.42
Specialized Medical Equipment and Supplies	☐	unit	56	1.20	1120.17	75275.42	

GRAND TOTAL:	**974167796.27**
Total: Services included in capitation:	
Total: Services not included in capitation:	974167796.27
Total Estimated Unduplicated Participants:	**9438**
Factor D (Divide total by number of participants):	**103217.61**
Services included in capitation:	
Services not included in capitation:	103217.61
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Structured Family Caregiving (previously known as Adult Foster Care) Total:							**10213819.38**
Level 3 Structured Family Caregiving (formerly Adult Foster Care Level 3)	☐	day	219	313.10	133.25	**9136805.92**	
Level 1 Structured Family Caregiving (formerly Adult Foster Care Level 1)	☐	day	9	280.00	77.54	**195400.80**	
Level 2 Structured Family Caregiving (formerly Adult Foster Care Level 2)	☐	day	34	263.30	98.48	**881612.66**	
Transportation Total:							**25157048.18**
Level 2 Transportation	☐	trip	484	143.10	25.71	**1780684.88**	
Level 1 Transportation	☐	trip	6120	256.60	14.87	**23351729.04**	
Level 3 Transportation	☐	trip	5	102.90	47.88	**24634.26**	
Vehicle Modifications Total:							**71725.50**
Vehicle Modifications	☐	unit	9	1.00	7969.50	**71725.50**	
Wellness Coordination Total:							**5998912.96**
Wellness Coordination - Tier II	☐	month	2635	9.60	162.34	**4106552.64**	
Wellness Coordination - Tier III	☐	month	381	8.80	251.71	**843933.29**	
Wellness Coordination - Tier I	☐	month	931	9.50	118.54	**1048427.03**	
Workplace Assistance Total:							**44712.42**
Workplace Assistance	☐	hour	4	291.40	38.36	**44712.42**	

GRAND TOTAL:	**974167796.27**
Total: Services included in capitation:	
Total: Services not included in capitation:	974167796.27
Total Estimated Unduplicated Participants:	**9438**
Factor D (Divide total by number of participants):	**103217.61**
Services included in capitation:	
Services not included in capitation:	103217.61
Average Length of Stay on the Waiver:	348

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 9)

d. Estimate of Factor D.

ii. Concurrent section 1915(b)/section 1915(c) waivers, or other concurrent managed care authorities utilizing capitated payment arrangements. *Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.*

Waiver Year: Year 2

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Services Total:							**2310192.96**
Adult Day Service - half day - Level 3	☐	half day	78	233.70	54.71	**997286.71**	
Adult Day Service - 1/4 hour - Level 3	☐	1/4 hour	1	1.00	4.20	**4.20**	
Adult Day Service - 1/4 hour - Level 1	☐	1/4 hour	1	1.00	2.93	**2.93**	
Adult Day Service - 1/4 hour - Level 2	☐	1/4 hour	1	1.00	3.30	**3.30**	
Adult Day Service - half day - Level 2	☐	half day	69	209.30	43.66	**630524.62**	
Adult Day Service - half day - Level 1	☐	half day	70	262.40	37.15	**682371.20**	
Case Management Total:							**20377637.38**
Case Management	☐	month	9419	11.40	189.52	**20350013.23**	
Transitional Case Management	☐	month	45	3.40	180.55	**27624.15**	
Day Habilitation Total:							**55316593.91**
Day Habilitation - Medium	☐	hour	2407	445.00	6.52	**6983669.80**	
Day Habilitation - Large	☐	hour	1180	82.70	4.19	**408885.34**	
Day Habilitation - Individual	☐	hour	4603	182.20	36.58	**30678424.23**	
Day Habilitation - Small	☐	hour	3092	423.50	13.17	**17245614.54**	
Prevocational Services Total:							**3938234.42**
Prevocational Services-Medium Group	☐	hour	819	644.70	5.61	**2962132.17**	
Prevocational Services-Large Group	☐	hour	545	127.80	3.72	**259101.72**	
Prevocational Services-Small Group	☐	hour	674	99.70	10.67	**717000.53**	
Rent and Food for Unrelated Live-in Caregiver Total:							**12535.00**
Rent and Food for Unrelated Live-in Caregiver	☐	month	2	11.50	545.00	**12535.00**	
Residential Habilitation and Support (hourly) Total:							**397802269.44**
Level 2 Residential Habilitation and Support - more than 35 hours/week	☐	hour	4352	2850.90	29.85	**370352436.48**	

GRAND TOTAL:	**975505953.34**
Total: Services included in capitation:	
Total: Services not included in capitation:	975505953.34
Total Estimated Unduplicated Participants:	**9451**
Factor D (Divide total by number of participants):	**103217.22**
Services included in capitation:	
Services not included in capitation:	103217.22
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Level 1 Residential Habilitation and Support - 35 hours or less/week	☐	hour	1080	731.20	34.76	27449832.96	
Respite Total:							13625655.15
Respite Nursing Care (LPN)	☐	1/4 hour	4	2034.90	13.69	111431.12	
Respite	☐	hour	704	440.20	43.17	13378417.54	
Respite Nursing Care (RN)	☐	1/4 hour	3	2647.30	17.10	135806.49	
Occupational Therapy Total:							5181.12
Occupational Therapy	☐	1/4 hour	3	96.00	17.99	5181.12	
Physical Therapy Total:							18.12
Physical Therapy	☐	1/4 hour	1	1.00	18.12	18.12	
Psychological Therapy Total:							2123.28
Psychological Therapy - Group	☐	1/4 hour	1	1.00	4.81	4.81	
Psychological Therapy - Individual	☐	1/4 hour	1	136.00	15.45	2101.20	
Psychological Therapy - Family	☐	1/4 hour	1	1.00	17.27	17.27	
Speech /Language Therapy Total:							60575.16
Speech /Language Therapy	☐	1/4 hour	10	334.30	18.12	60575.16	
Behavioral Support Services (BSS) Total:							44949595.39
Behavior Support Services - Level 2	☐	1/4 hour	6736	352.80	18.56	44107112.45	
Behavior Support Services - Level 1	☐	1/4 hour	5604	8.10	18.56	842482.94	
Career Exploration and Planning Total:							107666.40
Career Exploration and Planning - individual	☐	hour	22	120.00	37.06	97838.40	
Career Exploration and Planning - group	☐	hour	6	120.00	13.65	9828.00	
Community Transition Total:							212015.34
Community Transition	☐	unit	67	1.30	2434.16	212015.34	

GRAND TOTAL:	975505953.34
Total: Services included in capitation:	
Total: Services not included in capitation:	975505953.34
Total Estimated Unduplicated Participants:	9451
Factor D (Divide total by number of participants):	103217.22
Services included in capitation:	
Services not included in capitation:	103217.22
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Extended Services Total:							**1320446.56**
Extended Services	☐	hour	572	44.30	52.11	**1320446.56**	
Facility Based Support Services Total:							**2.51**
Facility Based Support Services	☐	hour	1	1.00	2.51	**2.51**	
Family and Caregiver Training Total:							**30508.93**
Family and Caregiver Training	☐	unit	16	11.60	164.38	**30508.93**	
Home Modification Assessment Total:							**44588.00**
Home Modification Assessment	☐	unit	71	1.00	628.00	**44588.00**	
Home Modifications Total:							**409122.08**
Home Modifications - Install	☐	unit	39	1.10	9411.23	**403741.77**	
Home Modifications-Maintain	☐	unit	6	1.00	893.63	**5361.78**	
Home Modifications - Equipment/Assessment/Inspection	☐	unit	1	1.00	18.53	**18.53**	
Intensive Behavioral Intervention Total:							**144.13**
Intensive Behavior Intervention - Level 1	☐	hour	1	1.00	104.60	**104.60**	
Intensive Behavior Intervention - Level 2 direct care staff	☐	hour	1	1.00	39.53	**39.53**	
Music Therapy Total:							**5767927.70**
Music Therapy	☐	1/4 hour	1694	203.40	16.74	**5767927.70**	
Personal Emergency Response System Total:							**65114.10**
Personal Emergency Response System-Install	☐	unit	10	1.00	54.41	**544.10**	
Personal Emergency Response System-Maintain	☐	unit	125	11.00	46.96	**64570.00**	
Recreational Therapy Total:							**8107844.42**
Recreational Therapy	☐	1/4 hour	1316	367.60	16.76	**8107844.42**	
Remote Supports Total:							**5655309.54**
Remote Supports	☐	hour				**5655309.54**	

GRAND TOTAL:	**975505953.34**
Total: Services included in capitation:	
Total: Services not included in capitation:	975505953.34
Total Estimated Unduplicated Participants:	**9451**
Factor D (Divide total by number of participants):	**103217.22**
Services included in capitation:	
Services not included in capitation:	103217.22
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
			235	1072.90	22.43		
Residential Habilitation and Support - Daily (RHS Daily) Total:							**373779242.63**
RHS Daily - Algo 3, 3-person	☐	day	600	256.40	233.51	**35923178.40**	
RHS Daily - Algo 3, 4-person	☐	day	242	256.20	220.82	**13690928.33**	
RHS Daily - Algo 4, 2-person	☐	day	828	230.90	331.12	**63305243.42**	
RHS Daily - Algo 3, 2-person	☐	day	418	216.60	237.37	**21491194.96**	
RHS Daily - Algo 4, 3-person	☐	day	1216	266.30	302.97	**98107987.78**	
RHS Daily - Algo 4, 4-person	☐	day	537	274.30	280.04	**41249639.96**	
RHS Daily - Algo 5, 2-person	☐	day	447	232.80	357.38	**37189534.61**	
RHS Daily - Algo 5, 4-person	☐	day	223	229.70	298.60	**15295217.66**	
RHS Daily - Algo 5, 3-person	☐	day	559	255.80	332.37	**47526317.51**	
Specialized Medical Equipment and Supplies Total:							**75275.42**
Specialized Medical Equipment and Supplies	☐	unit	56	1.20	1120.17	**75275.42**	
Structured Family Caregiving (previously known as Adult Foster Care) Total:							**10213819.38**
Level 3 Structured Family Caregiving (formerly Adult Foster Care Level 3)	☐	day	219	313.10	133.25	**9136805.92**	
Level 1 Structured Family Caregiving (formerly Adult Foster Care Level 1)	☐	day	9	280.00	77.54	**195400.80**	
Level 2 Structured Family Caregiving (formerly Adult Foster Care Level 2)	☐	day	34	263.30	98.48	**881612.66**	
Transportation Total:							**25191388.96**
Level 2 Transportation	☐	trip	484	143.10	25.71	**1780684.88**	
Level 1 Transportation	☐	trip	6129	256.60	14.87	**23386069.82**	
Level 3 Transportation	☐	trip	5	102.90	47.88	**24634.26**	
Vehicle Modifications Total:							**71725.50**

GRAND TOTAL:	**975505953.34**
Total: Services included in capitation:	
Total: Services not included in capitation:	975505953.34
Total Estimated Unduplicated Participants:	**9451**
Factor D (Divide total by number of participants):	**103217.22**
Services included in capitation:	
Services not included in capitation:	103217.22
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Vehicle Modifications	☐	unit	9	1.00	7969.50	71725.50	
Wellness Coordination Total:							6008487.99
Wellness Coordination - Tier II	☐	month	2639	9.60	162.34	4112786.50	
Wellness Coordination - Tier III	☐	month	382	8.80	251.71	846148.34	
Wellness Coordination - Tier I	☐	month	932	9.50	118.54	1049553.16	
Workplace Assistance Total:							44712.42
Workplace Assistance	☐	hour	4	291.40	38.36	44712.42	

GRAND TOTAL:	975505953.34
Total: Services included in capitation:	
Total: Services not included in capitation:	975505953.34
Total Estimated Unduplicated Participants:	9451
Factor D (Divide total by number of participants):	103217.22
Services included in capitation:	
Services not included in capitation:	103217.22
Average Length of Stay on the Waiver:	348

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

ii. Concurrent section 1915(b)/section 1915(c) waivers, or other concurrent managed care authorities utilizing capitated payment arrangements. *Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.*

Waiver Year: Year 3

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Services Total:							2329632.02
Adult Day Service - half day - Level 3	☐	half day	79	234.40	54.71	1013097.90	
Adult Day Service - 1/4 hour - Level 3	☐	1/4 hour	1	1.00	4.20	4.20	
Adult Day Service - 1/4 hour - Level 1	☐	1/4 hour	1	1.00	2.93	2.93	

GRAND TOTAL:	980844640.48
Total: Services included in capitation:	
Total: Services not included in capitation:	980844640.48
Total Estimated Unduplicated Participants:	9475
Factor D (Divide total by number of participants):	103519.22
Services included in capitation:	
Services not included in capitation:	103519.22
Average Length of Stay on the Waiver:	349

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Service - 1/4 hour - Level 2	☐	1/4 hour	1	1.00	3.30	3.30	
Adult Day Service - half day - Level 2	☐	half day	69	209.90	43.66	632332.15	
Adult Day Service - half day - Level 1	☐	half day	70	263.10	37.15	684191.55	
Case Management Total:							20429490.05
Case Management	☐	month	9443	11.40	189.52	20401865.90	
Transitional Case Management	☐	month	45	3.40	180.55	27624.15	
Day Habilitation Total:							55614485.01
Day Habilitation - Medium	☐	hour	2413	446.30	6.52	7021530.79	
Day Habilitation - Large	☐	hour	1183	82.90	4.19	410916.23	
Day Habilitation - Individual	☐	hour	4615	182.70	36.58	30842811.09	
Day Habilitation - Small	☐	hour	3100	424.70	13.17	17339226.90	
Prevocational Services Total:							3959595.22
Prevocational Services-Medium Group	☐	hour	821	646.60	5.61	2978116.75	
Prevocational Services-Large Group	☐	hour	546	128.10	3.72	260186.47	
Prevocational Services-Small Group	☐	hour	676	100.00	10.67	721292.00	
Rent and Food for Unrelated Live-in Caregiver Total:							12644.00
Rent and Food for Unrelated Live-in Caregiver	☐	month	2	11.60	545.00	12644.00	
Residential Habilitation and Support (hourly) Total:							399961598.17
Level 2 Residential Habilitation and Support - more than 35 hours/week	☐	hour	4363	2859.10	29.85	372356461.00	
Level 1 Residential Habilitation and Support - 35 hours or less/week	☐	hour	1083	733.30	34.76	27605137.16	
Respite Total:							13703990.93
Respite Nursing Care (LPN)	☐	1/4 hour	4	2040.70	13.69	111748.73	
Respite	☐					13456045.83	

GRAND TOTAL:	980844640.48
Total: Services included in capitation:	
Total: Services not included in capitation:	980844640.48
Total Estimated Unduplicated Participants:	9475
Factor D (Divide total by number of participants):	103519.22
Services included in capitation:	
Services not included in capitation:	103519.22
Average Length of Stay on the Waiver:	349

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		hour	706	441.50	43.17		
Respite Nursing Care (RN)	☐	1/4 hour	3	2654.90	17.10	136196.37	
Occupational Therapy Total:							5197.31
Occupational Therapy	☐	1/4 hour	3	96.30	17.99	5197.31	
Physical Therapy Total:							18.12
Physical Therapy	☐	1/4 hour	1	1.00	18.12	18.12	
Psychological Therapy Total:							2129.46
Psychological Therapy - Group	☐	1/4 hour	1	1.00	4.81	4.81	
Psychological Therapy - Individual	☐	1/4 hour	1	136.40	15.45	2107.38	
Psychological Therapy - Family	☐	1/4 hour	1	1.00	17.27	17.27	
Speech /Language Therapy Total:							60756.36
Speech /Language Therapy	☐	1/4 hour	10	335.30	18.12	60756.36	
Behavioral Support Services (BSS) Total:							45198930.43
Behavior Support Services - Level 2	☐	1/4 hour	6753	353.80	18.56	44343763.58	
Behavior Support Services - Level 1	☐	1/4 hour	5619	8.20	18.56	855166.85	
Career Exploration and Planning Total:							107935.57
Career Exploration and Planning - individual	☐	hour	22	120.30	37.06	98083.00	
Career Exploration and Planning - group	☐	hour	6	120.30	13.65	9852.57	
Community Transition Total:							212015.34
Community Transition	☐	unit	67	1.30	2434.16	212015.34	
Extended Services Total:							1325740.93
Extended Services	☐	hour	573	44.40	52.11	1325740.93	
Facility Based Support Services Total:							2.51
Facility Based Support Services	☐	hour	1	1.00	2.51	2.51	

GRAND TOTAL:	980844640.48
Total: Services included in capitation:	
Total: Services not included in capitation:	980844640.48
Total Estimated Unduplicated Participants:	9475
Factor D (Divide total by number of participants):	103519.22
Services included in capitation:	
Services not included in capitation:	103519.22
Average Length of Stay on the Waiver:	349

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Family and Caregiver Training Total:							**30771.94**
Family and Caregiver Training	☐	unit	16	11.70	164.38	**30771.94**	
Home Modification Assessment Total:							**44588.00**
Home Modification Assessment	☐	unit	71	1.00	628.00	**44588.00**	
Home Modifications Total:							**409122.08**
Home Modifications - Install	☐	unit	39	1.10	9411.23	**403741.77**	
Home Modifications-Maintain	☐	unit	6	1.00	893.63	**5361.78**	
Home Modifications - Equipment/Assessment/Inspection	☐	unit	1	1.00	18.53	**18.53**	
Intensive Behavioral Intervention Total:							**144.13**
Intensive Behavior Intervention - Level 1	☐	hour	1	1.00	104.60	**104.60**	
Intensive Behavior Intervention - Level 2 direct care staff	☐	hour	1	1.00	39.53	**39.53**	
Music Therapy Total:							**5798602.08**
Music Therapy	☐	1/4 hour	1698	204.00	16.74	**5798602.08**	
Personal Emergency Response System Total:							**65114.10**
Personal Emergency Response System-Install	☐	unit	10	1.00	54.41	**544.10**	
Personal Emergency Response System-Maintain	☐	unit	125	11.00	46.96	**64570.00**	
Recreational Therapy Total:							**8148433.78**
Recreational Therapy	☐	1/4 hour	1319	368.60	16.76	**8148433.78**	
Remote Supports Total:							**5695784.48**
Remote Supports	☐	hour	236	1076.00	22.43	**5695784.48**	
Residential Habilitation and Support - Daily (RHS Daily) Total:							**375861645.63**
RHS Daily - Algo 3, 3-person	☐	day	601	257.20	233.51	**36095321.97**	
RHS Daily - Algo 3, 4-person	☐	day	243	256.90	220.82	**13785063.89**	
RHS Daily - Algo 4, 2-person	☐					**63650535.36**	

GRAND TOTAL:	**980844640.48**
Total: Services included in capitation:	
Total: Services not included in capitation:	980844640.48
Total Estimated Unduplicated Participants:	**9475**
Factor D (Divide total by number of participants):	**103519.22**
Services included in capitation:	
Services not included in capitation:	103519.22
Average Length of Stay on the Waiver:	349

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		day	830	231.60	331.12		
RHS Daily - Algo 3, 2-person	☐	day	419	217.30	237.37	21612229.92	
RHS Daily - Algo 4, 3-person	☐	day	1219	267.10	302.97	98645486.85	
RHS Daily - Algo 4, 4-person	☐	day	539	275.10	280.04	41524023.16	
RHS Daily - Algo 5, 2-person	☐	day	448	233.50	357.38	37384807.04	
RHS Daily - Algo 5, 4-person	☐	day	224	230.30	298.60	15403937.92	
RHS Daily - Algo 5, 3-person	☐	day	560	256.60	332.37	47760239.52	
Specialized Medical Equipment and Supplies Total:							75275.42
Specialized Medical Equipment and Supplies	☐	unit	56	1.20	1120.17	75275.42	
Structured Family Caregiving (previously known as Adult Foster Care) Total:							10285160.40
Level 3 Structured Family Caregiving (formerly Adult Foster Care Level 3)	☐	day	220	314.00	133.25	9204910.00	
Level 1 Structured Family Caregiving (formerly Adult Foster Care Level 1)	☐	day	9	280.80	77.54	195959.09	
Level 2 Structured Family Caregiving (formerly Adult Foster Care Level 2)	☐	day	34	264.10	98.48	884291.31	
Transportation Total:							25321315.15
Level 2 Transportation	☐	trip	485	143.50	25.71	1789351.72	
Level 1 Transportation	☐	trip	6144	257.30	14.87	23507257.34	
Level 3 Transportation	☐	trip	5	103.20	47.88	24706.08	
Vehicle Modifications Total:							71725.50
Vehicle Modifications	☐	unit	9	1.00	7969.50	71725.50	
Wellness Coordination Total:							6067945.84
Wellness Coordination - Tier II	☐	Month	2646	9.70	162.34	4166650.91	
Wellness Coordination - Tier III	☐	Month	383	8.80	251.71	848363.38	

GRAND TOTAL:	**980844640.48**
Total: Services included in capitation:	
Total: Services not included in capitation:	980844640.48
Total Estimated Unduplicated Participants:	**9475**
Factor D (Divide total by number of participants):	**103519.22**
Services included in capitation:	
Services not included in capitation:	103519.22
Average Length of Stay on the Waiver:	349

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Wellness Coordination - Tier I	☐	Month	935	9.50	118.54	1052931.55	
Workplace Assistance Total:							44850.51
Workplace Assistance	☐	hour	4	292.30	38.36	44850.51	

GRAND TOTAL:	980844640.48
Total: Services included in capitation:	
Total: Services not included in capitation:	980844640.48
Total Estimated Unduplicated Participants:	9475
Factor D (Divide total by number of participants):	103519.22
Services included in capitation:	
Services not included in capitation:	103519.22
Average Length of Stay on the Waiver:	349

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (8 of 9)

d. Estimate of Factor D.

ii. Concurrent section 1915(b)/section 1915(c) waivers, or other concurrent managed care authorities utilizing capitated payment arrangements. *Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.*

Waiver Year: Year 4

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Services Total:							2341864.88
Adult Day Service - half day - Level 3	☐	half day	79	233.70	54.71	1010072.43	
Adult Day Service - 1/4 hour - Level 3	☐	1/4 hour	1	1.00	4.20	4.20	
Adult Day Service - 1/4 hour - Level 1	☐	1/4 hour	1	1.00	2.93	2.93	
Adult Day Service - 1/4 hour - Level 2	☐	1/4 hour	1	1.00	3.30	3.30	
Adult Day Service - half day - Level 2	☐	half day	70	209.30	43.66	639662.66	
Adult Day Service - half day - Level 1	☐	half day	71	262.40	37.15	692119.36	
Case Management Total:							20481342.73

GRAND TOTAL:	980318777.24
Total: Services included in capitation:	
Total: Services not included in capitation:	980318777.24
Total Estimated Unduplicated Participants:	9499
Factor D (Divide total by number of participants):	103202.31
Services included in capitation:	
Services not included in capitation:	103202.31
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Case Management	☐	month	9467	11.40	189.52	**20453718.58**	
Transitional Case Management	☐	month	45	3.40	180.55	**27624.15**	
Day Habilitation Total:							**55596021.85**
Day Habilitation - Medium	☐	hour	2419	445.00	6.52	**7018486.60**	
Day Habilitation - Large	☐	hour	1186	82.70	4.19	**410964.42**	
Day Habilitation - Individual	☐	hour	4626	182.20	36.58	**30831716.38**	
Day Habilitation - Small	☐	hour	3108	423.50	13.17	**17334854.46**	
Prevocational Services Total:							**3957907.51**
Prevocational Services-Medium Group	☐	hour	823	644.70	5.61	**2976599.24**	
Prevocational Services-Large Group	☐	hour	547	127.80	3.72	**260052.55**	
Prevocational Services-Small Group	☐	hour	678	99.70	10.67	**721255.72**	
Rent and Food for Unrelated Live-in Caregiver Total:							**12535.00**
Rent and Food for Unrelated Live-in Caregiver	☐	month	2	11.50	545.00	**12535.00**	
Residential Habilitation and Support (hourly) Total:							**399801538.03**
Level 2 Residential Habilitation and Support - more than 35 hours/week	☐	hour	4374	2850.90	29.85	**372224622.51**	
Level 1 Residential Habilitation and Support - 35 hours or less/week	☐	hour	1085	731.20	34.76	**27576915.52**	
Respite Total:							**13701668.89**
Respite Nursing Care (LPN)	☐	1/4 hour	4	2034.90	13.69	**111431.12**	
Respite	☐	hour	708	440.20	43.17	**13454431.27**	
Respite Nursing Care (RN)	☐	1/4 hour	3	2647.30	17.10	**135806.49**	
Occupational Therapy Total:							**5181.12**
Occupational Therapy	☐	1/4 hour	3	96.00	17.99	**5181.12**	
Physical Therapy Total:							**18.12**

GRAND TOTAL:	**980318777.24**
Total: Services included in capitation:	
Total: Services not included in capitation:	980318777.24
Total Estimated Unduplicated Participants:	**9499**
Factor D (Divide total by number of participants):	**103202.31**
Services included in capitation:	
Services not included in capitation:	103202.31
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Physical Therapy	☐	1/4 hour	1	1.00	18.12	18.12	
Psychological Therapy Total:							2123.28
Psychological Therapy - Group	☐	1/4 hour	1	1.00	4.81	4.81	
Psychological Therapy - Individual	☐	1/4 hour	1	136.00	15.45	2101.20	
Psychological Therapy - Family	☐	1/4 hour	1	1.00	17.27	17.27	
Speech /Language Therapy Total:							60575.16
Speech /Language Therapy	☐	1/4 hour	10	334.30	18.12	60575.16	
Behavioral Support Services (BSS) Total:							45176586.05
Behavior Support Services - Level 2	☐	1/4 hour	6770	352.80	18.56	44329743.36	
Behavior Support Services - Level 1	☐	1/4 hour	5633	8.10	18.56	846842.69	
Career Exploration and Planning Total:							112113.60
Career Exploration and Planning - individual	☐	hour	23	120.00	37.06	102285.60	
Career Exploration and Planning - group	☐	hour	6	120.00	13.65	9828.00	
Community Transition Total:							215179.74
Community Transition	☐	unit	68	1.30	2434.16	215179.74	
Extended Services Total:							1327371.98
Extended Services	☐	hour	575	44.30	52.11	1327371.98	
Facility Based Support Services Total:							2.51
Facility Based Support Services	☐	hour	1	1.00	2.51	2.51	
Family and Caregiver Training Total:							30508.93
Family and Caregiver Training	☐	unit	16	11.60	164.38	30508.93	
Home Modification Assessment Total:							44588.00
Home Modification Assessment	☐	unit	71	1.00	628.00	44588.00	
Home Modifications Total:							409122.08

GRAND TOTAL:	**980318777.24**
Total: Services included in capitation:	
Total: Services not included in capitation:	980318777.24
Total Estimated Unduplicated Participants:	**9499**
Factor D (Divide total by number of participants):	**103202.31**
Services included in capitation:	
Services not included in capitation:	103202.31
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Home Modifications - Install	☐	unit	39	1.10	9411.23	403741.77	
Home Modifications-Maintain	☐	unit	6	1.00	893.63	5361.78	
Home Modifications - Equipment/Assessment/Inspection	☐	unit	1	1.00	18.53	18.53	
Intensive Behavioral Intervention Total:							144.13
Intensive Behavior Intervention - Level 1	☐	hour	1	1.00	104.60	104.60	
Intensive Behavior Intervention - Level 2 direct care staff	☐	hour	1	1.00	39.53	39.53	
Music Therapy Total:							5795167.03
Music Therapy	☐	1/4 hour	1702	203.40	16.74	5795167.03	
Personal Emergency Response System Total:							65114.10
Personal Emergency Response System-Install	☐	unit	10	1.00	54.41	544.10	
Personal Emergency Response System-Maintain	☐	unit	125	11.00	46.96	64570.00	
Recreational Therapy Total:							8150971.25
Recreational Therapy	☐	1/4 hour	1323	367.60	16.76	8150971.25	
Remote Supports Total:							5679374.69
Remote Supports	☐	hour	236	1072.90	22.43	5679374.69	
Residential Habilitation and Support - Daily (RHS Daily) Total:							375543639.14
RHS Daily - Algo 3, 3-person	☐	day	603	256.40	233.51	36102794.29	
RHS Daily - Algo 3, 4-person	☐	day	243	256.20	220.82	13747502.41	
RHS Daily - Algo 4, 2-person	☐	day	832	230.90	331.12	63611065.86	
RHS Daily - Algo 3, 2-person	☐	day	420	216.60	237.37	21594023.64	
RHS Daily - Algo 4, 3-person	☐	day	1222	266.30	302.97	98592073.24	
RHS Daily - Algo 4, 4-person	☐	day	540	274.30	280.04	41480084.88	
RHS Daily - Algo 5, 2-person	☐	day	449	232.80	357.38	37355930.74	

GRAND TOTAL:	**980318777.24**
Total: Services included in capitation:	
Total: Services not included in capitation:	980318777.24
Total Estimated Unduplicated Participants:	**9499**
Factor D (Divide total by number of participants):	**103202.31**
Services included in capitation:	
Services not included in capitation:	103202.31
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
RHS Daily - Algo 5, 4-person	☐	day	224	229.70	298.60	15363806.08	
RHS Daily - Algo 5, 3-person	☐	day	561	255.80	332.37	47696358.01	
Specialized Medical Equipment and Supplies Total:							76619.63
Specialized Medical Equipment and Supplies	☐	unit	57	1.20	1120.17	76619.63	
Structured Family Caregiving (previously known as Adult Foster Care) Total:							10255539.96
Level 3 Structured Family Caregiving (formerly Adult Foster Care Level 3)	☐	day	220	313.10	133.25	9178526.50	
Level 1 Structured Family Caregiving (formerly Adult Foster Care Level 1)	☐	day	9	280.00	77.54	195400.80	
Level 2 Structured Family Caregiving (formerly Adult Foster Care Level 2)	☐	day	34	263.30	98.48	881612.66	
Transportation Total:							25320711.17
Level 2 Transportation	☐	trip	487	143.10	25.71	1791722.19	
Level 1 Transportation	☐	trip	6160	256.60	14.87	23504354.72	
Level 3 Transportation	☐	trip	5	102.90	47.88	24634.26	
Vehicle Modifications Total:							71725.50
Vehicle Modifications	☐	unit	9	1.00	7969.50	71725.50	
Wellness Coordination Total:							6038808.77
Wellness Coordination - Tier II	☐	month	2652	9.60	162.34	4133046.53	
Wellness Coordination - Tier III	☐	month	384	8.80	251.71	850578.43	
Wellness Coordination - Tier I	☐	month	937	9.50	118.54	1055183.81	
Workplace Assistance Total:							44712.42
Workplace Assistance	☐	hour	4	291.40	38.36	44712.42	

GRAND TOTAL:	**980318777.24**
Total: Services included in capitation:	
Total: Services not included in capitation:	980318777.24
Total Estimated Unduplicated Participants:	**9499**
Factor D (Divide total by number of participants):	**103202.31**
Services included in capitation:	
Services not included in capitation:	103202.31
Average Length of Stay on the Waiver:	348

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (9 of 9)

d. Estimate of Factor D.

ii. Concurrent section 1915(b)/section 1915(c) waivers, or other concurrent managed care authorities utilizing capitated payment arrangements. *Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.*

Waiver Year: Year 5

Waiver Service/ Component	*Capi-tation*	*Unit*	*# Users*	*Avg. Units Per User*	*Avg. Cost/ Unit*	*Component Cost*	*Total Cost*
Adult Day Services Total:							***2341864.88***
Adult Day Service - half day - Level 3	☐	*half day*	*79*	*233.70*	*54.71*	***1010072.43***	
Adult Day Service - 1/4 hour - Level 3	☐	*1/4 hour*	*1*	*1.00*	*4.20*	***4.20***	
Adult Day Service - 1/4 hour - Level 1	☐	*1/4 hour*	*1*	*1.00*	*2.93*	***2.93***	
Adult Day Service - 1/4 hour - Level 2	☐	*1/4 hour*	*1*	*1.00*	*3.30*	***3.30***	
Adult Day Service - half day - Level 2	☐	*half day*	*70*	*209.30*	*43.66*	***639662.66***	
Adult Day Service - half day - Level 1	☐	*half day*	*71*	*262.40*	*37.15*	***692119.36***	
Case Management Total:							***20533809.27***
Case Management	☐	*month*	*9491*	*11.40*	*189.52*	***20505571.25***	
Transitional Case Management	☐	*month*	*46*	*3.40*	*180.55*	***28238.02***	
Day Habilitation Total:							***55739068.27***
Day Habilitation - Medium	☐	*hour*	*2425*	*445.00*	*6.52*	***7035895.00***	
Day Habilitation - Large	☐	*hour*	*1189*	*82.70*	*4.19*	***412003.96***	
Day Habilitation - Individual	☐	*hour*	*4638*	*182.20*	*36.58*	***30911694.89***	
Day Habilitation - Small	☐	*hour*	*3116*	*423.50*	*13.17*	***17379474.42***	
Prevocational Services Total:							***3967155.68***
Prevocational Services-Medium Group	☐	*hour*	*825*	*644.70*	*5.61*	***2983832.78***	
Prevocational Services-Large Group	☐	*hour*	*549*	*127.80*	*3.72*	***261003.38***	

GRAND TOTAL:	***982909803.39***
Total: Services included in capitation:	
Total: Services not included in capitation:	*982909803.39*
Total Estimated Unduplicated Participants:	***9523***
Factor D (Divide total by number of participants):	***103214.30***
Services included in capitation:	
Services not included in capitation:	*103214.30*
Average Length of Stay on the Waiver:	*348*

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Prevocational Services-Small Group	☐	hour	679	99.70	10.67	722319.52	
Rent and Food for Unrelated Live-in Caregiver Total:							12535.00
Rent and Food for Unrelated Live-in Caregiver	☐	month	2	11.50	545.00	12535.00	
Residential Habilitation and Support (hourly) Total:							400813880.58
Level 2 Residential Habilitation and Support - more than 35 hours/week	☐	hour	4385	2850.90	29.85	373160715.52	
Level 1 Residential Habilitation and Support - 35 hours or less/week	☐	hour	1088	731.20	34.76	27653165.06	
Respite Total:							13739675.75
Respite Nursing Care (LPN)	☐	1/4 hour	4	2034.90	13.69	111431.12	
Respite	☐	hour	710	440.20	43.17	13492438.14	
Respite Nursing Care (RN)	☐	1/4 hour	3	2647.30	17.10	135806.49	
Occupational Therapy Total:							5181.12
Occupational Therapy	☐	1/4 hour	3	96.00	17.99	5181.12	
Physical Therapy Total:							18.12
Physical Therapy	☐	1/4 hour	1	1.00	18.12	18.12	
Psychological Therapy Total:							2123.28
Psychological Therapy - Group	☐	1/4 hour	1	1.00	4.81	4.81	
Psychological Therapy - Individual	☐	1/4 hour	1	136.00	15.45	2101.20	
Psychological Therapy - Family	☐	1/4 hour	1	1.00	17.27	17.27	
Speech /Language Therapy Total:							60575.16
Speech /Language Therapy	☐	1/4 hour	10	334.30	18.12	60575.16	
Behavioral Support Services (BSS) Total:							45290006.21
Behavior Support Services - Level 2	☐	1/4 hour	6787	352.80	18.56	44441058.82	
Behavior Support Services - Level 1	☐	1/4 hour	5647	8.10	18.56	848947.39	

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Services included in capitation:	
Services not included in capitation:	103214.30
Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Career Exploration and Planning Total:							**112113.60**
Career Exploration and Planning - individual	☐	hour	23	120.00	37.06	**102285.60**	
Career Exploration and Planning - group	☐	hour	6	120.00	13.65	**9828.00**	
Community Transition Total:							**215179.74**
Community Transition	☐	unit	68	1.30	2434.16	**215179.74**	
Extended Services Total:							**1329680.45**
Extended Services	☐	hour	576	44.30	52.11	**1329680.45**	
Facility Based Support Services Total:							**2.51**
Facility Based Support Services	☐	hour	1	1.00	2.51	**2.51**	
Family and Caregiver Training Total:							**30508.93**
Family and Caregiver Training	☐	unit	16	11.60	164.38	**30508.93**	
Home Modification Assessment Total:							**44588.00**
Home Modification Assessment	☐	unit	71	1.00	628.00	**44588.00**	
Home Modifications Total:							**409122.08**
Home Modifications - Install	☐	unit	39	1.10	9411.23	**403741.77**	
Home Modifications-Maintain	☐	unit	6	1.00	893.63	**5361.78**	
Home Modifications - Equipment/Assessment/Inspection	☐	unit	1	1.00	18.53	**18.53**	
Intensive Behavioral Intervention Total:							**144.13**
Intensive Behavior Intervention - Level 1	☐	hour	1	1.00	104.60	**104.60**	
Intensive Behavior Intervention - Level 2 direct care staff	☐	hour	1	1.00	39.53	**39.53**	
Music Therapy Total:							**5812191.61**
Music Therapy	☐	1/4 hour	1707	203.40	16.74	**5812191.61**	
Personal Emergency Response System Total:							**65630.66**
Personal Emergency Response System-Install	☐					**544.10**	

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Services included in capitation:	
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Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		unit	10	1.00	54.41		
Personal Emergency Response System-Maintain	☐	unit	126	11.00	46.96	65086.56	
Recreational Therapy Total:							8169454.18
Recreational Therapy	☐	1/4 hour	1326	367.60	16.76	8169454.18	
Remote Supports Total:							5703439.84
Remote Supports	☐	hour	237	1072.90	22.43	5703439.84	
Residential Habilitation and Support - Daily (RHS Daily) Total:							376581910.40
RHS Daily - Algo 3, 3-person	☐	day	604	256.40	233.51	36162666.26	
RHS Daily - Algo 3, 4-person	☐	day	244	256.20	220.82	13804076.50	
RHS Daily - Algo 4, 2-person	☐	day	834	230.90	331.12	63763977.07	
RHS Daily - Algo 3, 2-person	☐	day	421	216.60	237.37	21645437.98	
RHS Daily - Algo 4, 3-person	☐	day	1225	266.30	302.97	98834115.98	
RHS Daily - Algo 4, 4-person	☐	day	542	274.30	280.04	41633714.82	
RHS Daily - Algo 5, 2-person	☐	day	450	232.80	357.38	37439128.80	
RHS Daily - Algo 5, 4-person	☐	day	225	229.70	298.60	15432394.50	
RHS Daily - Algo 5, 3-person	☐	day	563	255.80	332.37	47866398.50	
Specialized Medical Equipment and Supplies Total:							76619.63
Specialized Medical Equipment and Supplies	☐	unit	57	1.20	1120.17	76619.63	
Structured Family Caregiving (previously known as Adult Foster Care) Total:							10297260.53
Level 3 Structured Family Caregiving (formerly Adult Foster Care Level 3)	☐	day	221	313.10	133.25	9220247.08	
Level 1 Structured Family Caregiving (formerly Adult Foster Care Level 1)	☐	day	9	280.00	77.54	195400.80	
Level 2 Structured Family Caregiving (formerly Adult Foster Care Level 2)	☐	day	34	263.30	98.48	881612.66	

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Average Length of Stay on the Waiver:	348

Waiver Service/ Component	Capi-tation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Transportation Total:							**25385440.54**
Level 2 Transportation	☐	trip	488	143.10	25.71	**1795401.29**	
Level 1 Transportation	☐	trip	6176	256.60	14.87	**23565404.99**	
Level 3 Transportation	☐	trip	5	102.90	47.88	**24634.26**	
Vehicle Modifications Total:							**71725.50**
Vehicle Modifications	☐	unit	9	1.00	7969.50	**71725.50**	
Wellness Coordination Total:							**6054185.33**
Wellness Coordination - Tier II	☐	Month	2659	9.60	162.34	**4143955.78**	
Wellness Coordination - Tier III	☐	Month	385	8.80	251.71	**852793.48**	
Wellness Coordination - Tier I	☐	Month	939	9.50	118.54	**1057436.07**	
Workplace Assistance Total:							**44712.42**
Workplace Assistance	☐	hour	4	291.40	38.36	**44712.42**	

GRAND TOTAL:	**982909803.39**
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