

Public Notice

Pursuant to 42 C.F.R. § 447.205, the Georgia Department of Community Health (DCH) is required to give public notice of any significant proposed change in its methods and standards for setting payment rates for services.

Elderly and Disabled Waiver Program Renewal

The current approved Elderly and Disabled Waiver Program (EDWP), which includes the Community Care Services Program (CCSP) and the Service Options Using Resources for Community Environments (SOURCE) Program, expires November 8, 2022, and must be renewed by the Centers for Medicare and Medicaid Services (CMS). DCH hereby notifies the public that it intends to request a five-year renewal of the program, effective November 9, 2022.

DCH will provide the public the opportunity to review and submit input on the EDWP renewal application. This notice provides details about the waiver renewal application and serves to open the 30-day public comment period, which closes on Friday, July 1, 2022.

The Department proposes the following changes in the EDWP Renewal:

- Add Assistive Technology as a new service
- Modify Personal Support Services to allow a relative to deliver the service
- Allow five services with no utilization to expire
 - Transition Coordination (Pre-discharge)
 - Transition Coordination (Month 1-6)
 - Transition Coordination (Month 7-12)
 - Transition Services and Supports
 - Transition Community Integration Services
- Permanently reset rates to reflect a 10 percent increase

Add a New Service:

Assistive Technology

DCH proposes to add Assistive Technology as a new service to the EDWP. Assistive technology consists of any technology, whether acquired commercially, modified, or customized, that is used to maintain or improve functional capabilities of individuals with disabilities by providing an alternative method to perform a task.

Modify a Service:

Personal Support Services

During the Public Health Emergency, Georgia experienced significant challenges in retaining a stable workforce and recruiting direct support professionals and home health workers. Therefore, DCH proposes to allow relatives to deliver Personal Support Services, Personal Support Extended, and Consumer-Directed Personal Support Services. Relatives, as defined in

current policy, may be hired by Private Homecare Providers through the traditional service model or comply with criteria set forth in the Consumer Directed model.

Allow to Expire:

The five transition services in the current approved waiver were added anticipating the sunset of the Money Follows the Person (MFP) program. Given the continued authorization and availability of MFP funds along with zero utilization of the five services, DCH proposes to not renew these services in the waiver. The services may be added via waiver amendment when notice of the end of MFP is certain.

Rate Increases:

In the 2021 Georgia General Assembly, the EDWP allocation was increased to reflect a 10 percent across the board rate increase for all services. The rate increase has been implemented temporarily through an Appendix K application approved by CMS retroactive to 7/1/2021. The increase was authorized by the Georgia General Assembly based on the opportunity provided through the American Rescue Plan Act to fund the rate increases, however the intent of the legislators is to continue the award beyond the public health emergency to reset rates permanently. The increase has been applied as legislated to this renewal application to reflect the intent to reset rates permanently in this waiver.

Service	Previous Rate	Current Rate (Effective July 1, 2021)
Adult Day Health Level I Full Day	\$55.62	\$61.18
Adult day Health Level I Partial Day	\$33.37	\$36.71
Adult Day Health; Physical Therapy	\$44.15/visit	\$48.57/visit
Adult Day Health; Speech Therapy	\$44.15/visit	\$48.57/visit
Adult Day Health; Occupational Therapy	\$44.15/visit	\$48.57/visit
Adult Day Health Level II Full Day	\$69.53/day	\$76.48/day
Adult Day Health Level II Partial Day	\$41.73/day	\$45.90/day
Alternative Living Services Group Model	\$50.00/day	\$55.00/day
Alternative Living Services Family Model	\$50.00/day	\$55.00/day
Structured Family Caregiver	\$90.20/day	\$99.22/day

Out of Home Respite (12 hours)	\$42.57/night	\$46.83/night
Out of Home Respite (hourly)	\$3.00 /15- minute unit	\$3.30/15-minute unit
Personal Support Service	\$5.07 /15-minute unit	\$5.58/15-minute unit
Extended Personal Support	\$4.51 /15-minute unit	\$4.96/15-minute unit
Fiscal Intermediary	\$80.00/month	\$88.00/month
Emergency Response Monitoring (Monthly)	\$36.69/month	\$40.36/month
Emergency Response Monitoring (Weekly)	\$9.17/week	\$10.09/week
Emergency Response Installment	Up to \$110.10/one installment	\$121.11/one installment
Home Delivered Meals	\$6.74/meal	\$7.41/meal
Skilled Nursing Services RN	\$65.00/visit	\$71.50/visit
Skilled Nursing Services LPN	\$50.00/visit	\$55.00/visit
Care Coordination Services	\$175/month	\$192.50/month
Enhanced Care Coordination Services	\$192.27/month	\$211.50/month

Estimated Annual Expenditures

Waiver Year	Estimated State Share	Estimated Federal Share	Estimated Total Expenditure
Year 1	\$303,219,743	\$589,127,940	\$892,347,682
Year 2	\$330,246,841	\$641,639,093	\$971,885,933
Year 3	\$359,688,664	\$698,841,837	\$1,058,530,501
Year 4	\$391,758,736	\$761,151,023	\$1,152,909,758
Year 5	\$426,718,552	\$829,074,714	\$1,255,793,266
Total	\$1,811,632,536	\$3,519,834,607	\$5,331,467,140

Locations to Access Copies of Public Notice and Waiver Renewal

This public notice and the waiver renewal application are available on the Department's website, at <https://dch.georgia.gov/meetings-notice/public-notice>. This public notice and the waiver renewal application are also available for review at each county Division of Family and

Children Services office. A comprehensive statewide list of locations of all Division of Family and Children Services offices can be found at <https://dfcs.georgia.gov/locations>.

Public Hearings and Public Input Procedure

This public notice is available for review at each county Division of Family and Children Services office. An opportunity for public comment will be held on **June 7, 2022 at 10:30 a.m., via Zoom audio**. There will be **no in-person** attendance at the Department of Community Health (DCH).

Individuals who are disabled and need assistance to participate during this meeting should call (404) 656-4479 at least three (3) business days prior to the scheduled public hearing to ensure any necessary accommodations can be provided.

June 7, 2022 10:30 AM Eastern Time (US and Canada)

Join Zoom Meeting

<https://us02web.zoom.us/j/89173713992?pwd=bmdBREltbUEvV1M3ekl0a3FuZkJCUT09>

Meeting ID: 891 7371 3992

Passcode: Open

One tap mobile

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Dial by your location

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+1 669 900 9128 US (San Jose)

+1 253 215 8782 US (Tacoma)

Meeting ID: 891 7371 3992

Individuals wishing to provide written comments on or before **July 1, 2022**, may submit comments through an online webform located at: <https://medicaid.georgia.gov/programs/all-programs/waiver-programs> or to Danisha Williams c/o the Board of Community Health at the following address, Post Office Box 1966, Atlanta, Georgia 30301-1966. Comment letters must be postmarked by **July 1, 2022**, to be accepted.

Comments submitted will be available for review by submitting a request via email to Danisha Williams, danwilliams@dch.ga.gov. Public comments and public testimony will be provided to the Board of Community Health prior to the **July 18, 2022** Board meeting. The Board will vote

on any proposed changes at the Board meeting to be held at 10:30 a.m. at the Department of Community Health.

NOTICE IS HEREBY GIVEN THIS 2nd DAY OF JUNE 2022
Caylee Noggle, Commissioner

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

PURPOSE OF THE HCBS WAIVER PROGRAM

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

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

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

1. Major Changes

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

Effective November 9, 2022 and subject to approval by the Centers for Medicare and Medicaid Services, the Department is proposing to renew the Elderly and Disabled Waiver Program with the following changes:

Appendix B:

- Increased the number of waiver slots available based on current year enrollment and applied an average growth projection based on historical analysis

Appendix C:

- Add new service: Assistive Technology
 - Modify the following services: Personal Support Service, Personal Support Extended, and Consumer Directed Personal Support to allow a relative to provide the service
 - Allow the following services to expire: Transition Coordination (Pre-discharge), Transition Coordination (Month 1-6), Transition Coordination (Month 7-12), Transition Services and Supports, Transition Community Integration Services
 - Update C-5 to reflect the current status of Georgia's HCBS Transition Plan and ongoing activities to assure compliance

Appendix E:

-Recalculated the projected number of waiver participants who self-direct services using the growth factor applied to project annual cost increases

Appendix G:

- Updated to reflect new and/or revised policy requirements and processes related to the new critical incident reporting system implemented in 2020

Appendix J:

-Cost neutrality figures were updated for the waiver renewal
 -All service rates have been increased by 10 percent to reflect a rate increase authorized by the Georgia General Assembly based on the enhanced federal funding available through the American Rescue Plan Act (ARPA) of 2021. Following the exhaustion of ARPA funds, rates will continue to be reimbursed at the increased rate through legislative appropriation.

Quality Improvement Strategy (QIS):

Performance Measures throughout the waiver application were updated to meet the assurance/sub-assurance requirements.

Multiple minor corrections were made to account for previous spelling or syntax errors and to clarify definitions. Additionally, other revisions in the renewal such as in Appendix G and I are based on changes in policy or in response to CMS review of the Independent Care Waiver Program where SMA responsibilities are standard across all waiver programs.

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

1. Request Information (1 of 3)

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

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

Elderly and Disabled Waiver

C. Type of Request: renewal

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

3 years 5 years

Original Base Waiver Number: GA.0112

Draft ID: GA.008.08.00

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

Regular Waiver

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

11/09/22

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:

Individuals served by this waiver program are required to meet the same level of care for admission to a nursing facility as verified by contracted external review organization with DCH oversight.

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

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

1. Request Information (3 of 3)

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

Select one:

Not applicable

Applicable

Check the applicable authority or authorities:

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

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

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

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

§1915(b)(1) (mandated enrollment to managed care)

§1915(b)(2) (central broker)

§1915(b)(3) (employ cost savings to furnish additional services)

§1915(b)(4) (selective contracting/limit number of providers)

A program operated under §1932(a) of the Act.

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

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

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

A program authorized under §1115 of the Act.

Specify the program:

H. Dual Eligibility for Medicaid and Medicare.

Check if applicable:

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

2. Brief Waiver Description

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

PURPOSE: The Elderly & Disabled Waiver Program assists individuals who are older or disabled and functionally impaired to continue to live in the community with appropriate supports. Individuals served by this program are required to meet the same level of care for admission to a nursing home facility as verified by DCH and their contracted external review organization. Individuals must currently be Medicaid eligible or potentially Medicaid eligible under the expanded criteria as outlined in the waiver.

GOALS:

Delay or prevent the need for institutional care through the provision of cost effective home and community-based services. To divert institutional placement and facilitate the transition of individuals from institutions to the community by providing an array of community-based long term supports and services.

Provide, coordinate and oversee the delivery of a range of community services, both Medicaid-funded and funded through other sources, that meet the needs of a frail elderly and disabled population.

Coordinate medical services with community services to provide a holistic approach to the delivery of long term supports and services.

OBJECTIVES:

Provide person-centered, reliable, high quality services consistent with the needs of individual waiver participants.

Promote the greatest level of independence for waiver participants, ensuring service delivery as needed to promote safety and welfare.

Involve the participant or representative in decisions and activities related to service selection, provider selection, and service delivery.

ORGANIZATIONAL STRUCTURE:

The Georgia Department of Community Health provides administrative oversight of all waiver functions and operationally administers the functions of the waiver. The Elderly and Disabled Waiver staff at DCH consists of a Program Director for SOURCE and a Program Director for CCSP. There are individual staff members that work with each of the 12 Area Agency on Aging offices, Quality Assurance Specialist, Provider Specialists, Policy Specialists, and an Administrative Assistant. DCH contracts with the Division of Aging Services for operation of the information system Harmony and the associated interface with MMIS. The Program Director for SOURCE and CCSP both report to the Director of Waiver Programs in the Home and Community Based Services Unit of Medicaid Policy Section at DCH.

ROLE OF THE AREA AGENCIES ON THE AGING:

Area Agencies on Aging are regionally-based State and local programs, tied to statewide and nationwide networks, which help older people and their families/caregivers plan and care for their life long needs. They were created under Federal law through the Older Americans Act. Their goal is to keep seniors living independently in their own homes. They provide social services and nutrition services for elders and support for caregivers. In Georgia they are not consistently part of the state or county structure, but they are recognized in Georgia Code and the majority are housed in Regional Commission Offices. Regional Commissions are regional planning agencies and intergovernmental coordination agencies. As such, the 12 Georgia AAAs are quasi-governmental entities that are organized to cover all counties and are organized in regions. They are charged with implementing Area Plans on Aging as required by the Older Americans Act. The State Agency on Aging DHS/DAS (Department of Human Services/Division of Aging Services) provides oversight of the implementation of the Area Plans through individual contracts with the 12 regional AAAs. DCH contracts with DAS for screening for all aspects of the Elderly and Disabled waiver as well as all 1915 (c) waivers through the AAAs.

SERVICE DELIVERY METHOD:

The waiver program offers a range of services as an alternative to institutional care which are ordered and delivered to meet specific needs identified through comprehensive assessment and care planning. Available services include: Adult Day Health Care, Alternative Living Services, Emergency Response Service, Home Delivered Meals, Home Delivered Services provided as an extension of State Plan approved home health therapies and nursing, Personal Support Services, and Skilled Nursing Services not otherwise delivered by home health agencies. Additionally transitional services will be offered as part of the waiver to sustain the services previously afforded under Money Follows the Person. The system of coordinated community care and support services is designed to assist functionally impaired individuals to live in their own homes or with their families. As a way to promote independence and freedom of choice, the participant-directed services model is available to waiver participants who choose to direct their own care.

QUALITY MANAGEMENT:

The Medicaid Agency oversees quality improvement activities and management functions of the waiver. Specific management

of elements of the waiver to include performance measures and remediation activities are described within all Appendices of this application and fully in Appendix H of this document under "Quality Improvement Strategies."

3. Components of the Waiver Request

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

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

No. This waiver does not provide participant direction opportunities. Appendix E is not required.
- F. Participant Rights.** Appendix F specifies how the state informs participants of their Medicaid Fair Hearing rights and other procedures to address participant grievances and complaints.
- G. Participant Safeguards.** Appendix G describes the safeguards that the state has established to assure the health and welfare of waiver participants in specified areas.
- H. Quality Improvement Strategy.** Appendix H contains the Quality Improvement Strategy for this waiver.
- I. Financial Accountability.** Appendix I describes the methods by which the state makes payments for waiver services, ensures the integrity of these payments, and complies with applicable federal requirements concerning payments and federal financial participation.
- J. Cost-Neutrality Demonstration.** Appendix J contains the state's demonstration that the waiver is cost-neutral.

4. Waiver(s) Requested

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

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

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

5. Assurances

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

- A. Health & Welfare:** The state assures that necessary safeguards have been taken to protect the health and welfare of persons receiving services under this waiver. These safeguards include:
1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;
 2. Assurance that the standards of any state licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The state assures that these requirements are met on the date that the services are furnished; and,
 3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable state standards for board and care facilities as specified in **Appendix C**.
- B. Financial Accountability.** The state assures financial accountability for funds expended for home and community-based services and maintains and makes available to the Department of Health and Human Services (including the Office of the Inspector General), the Comptroller General, or other designees, appropriate financial records documenting the cost of services provided under the waiver. Methods of financial accountability are specified in **Appendix I**.
- C. Evaluation of Need:** The state assures that it provides for an initial evaluation (and periodic reevaluations, at least annually) of the need for a level of care specified for this waiver, when there is a reasonable indication that an individual might need such services in the near future (one month or less) but for the receipt of home and community-based services under this waiver. The procedures for evaluation and reevaluation of level of care are specified in **Appendix B**.
- D. Choice of Alternatives:** The state assures that when an individual is determined to be likely to require the level of care specified for this waiver and is in a target group specified in **Appendix B**, the individual (or, legal representative, if applicable) is:
1. Informed of any feasible alternatives under the waiver; and,
 2. Given the choice of either institutional or home and community-based waiver services. **Appendix B** specifies the procedures that the state employs to ensure that individuals are informed of feasible alternatives under the waiver and given the choice of institutional or home and community-based waiver services.
- E. Average Per Capita Expenditures:** The state assures that, for any year that the waiver is in effect, the average per capita expenditures under the waiver will not exceed 100 percent of the average per capita expenditures that would have been made under the Medicaid state plan for the level(s) of care specified for this waiver had the waiver not been granted. Cost-neutrality is demonstrated in **Appendix J**.

- F. Actual Total Expenditures:** The state assures that the actual total expenditures for home and community-based waiver and other Medicaid services and its claim for FFP in expenditures for the services provided to individuals under the waiver will not, in any year of the waiver period, exceed 100 percent of the amount that would be incurred in the absence of the waiver by the state's Medicaid program for these individuals in the institutional setting(s) specified for this waiver.
- G. Institutionalization Absent Waiver:** The state assures that, absent the waiver, individuals served in the waiver would receive the appropriate type of Medicaid-funded institutional care for the level of care specified for this waiver.
- H. Reporting:** The state assures that annually it will provide CMS with information concerning the impact of the waiver on the type, amount and cost of services provided under the Medicaid state plan and on the health and welfare of waiver participants. This information will be consistent with a data collection plan designed by CMS.
- I. Habilitation Services.** The state assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.
- J. Services for Individuals with Chronic Mental Illness.** The state assures that federal financial participation (FFP) will not be claimed in expenditures for waiver services including, but not limited to, day treatment or partial hospitalization, psychosocial rehabilitation services, and clinic services provided as home and community-based services to individuals with chronic mental illnesses if these individuals, in the absence of a waiver, would be placed in an IMD and are: (1) age 22 to 64; (2) age 65 and older and the state has not included the optional Medicaid benefit cited in 42 CFR §440.140; or (3) age 21 and under and the state has not included the optional Medicaid benefit cited in 42 CFR § 440.160.

6. Additional Requirements

Note: Item 6-I must be completed.

- A. Service Plan.** In accordance with 42 CFR §441.301(b)(1)(i), a participant-centered service plan (of care) is developed for each participant employing the procedures specified in **Appendix D**. All waiver services are furnished pursuant to the service plan. The service plan describes: (a) the waiver services that are furnished to the participant, their projected frequency and the type of provider that furnishes each service and (b) the other services (regardless of funding source, including state plan services) and informal supports that complement waiver services in meeting the needs of the participant. The service plan is subject to the approval of the Medicaid agency. Federal financial participation (FFP) is not claimed for waiver services furnished prior to the development of the service plan or for services that are not included in the service plan.
- B. Inpatients.** In accordance with 42 CFR §441.301(b)(1)(ii), waiver services are not furnished to individuals who are inpatients of a hospital, nursing facility or ICF/IID.
- C. Room and Board.** In accordance with 42 CFR §441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the state that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.
- D. Access to Services.** The state does not limit or restrict participant access to waiver services except as provided in **Appendix C**.
- E. Free Choice of Provider.** In accordance with 42 CFR §431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the state has received approval to limit the number of providers under the provisions of §1915(b) or another provision of the Act.
- F. FFP Limitation.** In accordance with 42 CFR §433 Subpart D, FFP is not claimed for services when another third-party (e.g., another third party health insurer or other federal or state program) is legally liable and responsible for the provision and payment of the service. FFP also may not be claimed for services that are available without charge, or as free care to the community. Services will not be considered to be without charge, or free care, when (1) the provider establishes a fee schedule for each service available and (2) collects insurance information from all those served (Medicaid, and non-Medicaid), and bills other legally liable third party insurers. Alternatively, if a provider certifies that a particular legally liable third party insurer does not pay for the service(s), the provider may not generate further bills for that insurer for that annual period.

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

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

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

As a standard procedure and initiated by the DCH Board, the Department of Community Health provides opportunity for public comment for any Medicaid action involving significant changes.

For this waiver renewal, DCH held two townhall meetings and posted an online survey for two weeks to present proposed changes to the waiver and solicit feedback prior to presenting the draft renewal application to the DCH Board and the start of the public comment period.

The DCH Board scheduled to meet on June 2, 2022 will consider initial adoption of the renewal application and open the 30-day public comment period. The public notice and the draft waiver application are posted on the DCH website located at: <https://dch.georgia.gov/meetings-notices/public-notices>.

The public notice provides information regarding proposed changes to the waiver renewal and the 30-day public comment period, which includes the date and time of the public comment hearing to receive oral testimony, instructions to provide written comment, where to locate the draft renewal application, and the date for the next DCH board meeting where final adoption of the renewal application will be considered. Comments from written and public testimony, if received, are compiled and provided to the DCH Board for final approval of the renewal application prior to submission to CMS.

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:

Lynnette

First Name:

Rhodes

Title:	<input type="text" value="Executive Director, Medical Assistance Plans"/>		
Agency:	<input type="text" value="Georgia Department of Community Health"/>		
Address:	<input type="text" value="2 Peachtree Street N.W."/>		
Address 2:	<input type="text" value="36th Floor"/>		
City:	<input type="text" value="Atlanta"/>		
State:	Georgia		
Zip:	<input type="text" value="30303"/>		
Phone:	<input type="text" value="(404) 656-7513"/>	Ext: <input type="text"/>	TTY
Fax:	<input type="text"/>		
E-mail:	<input type="text" value="lrhodes@dch.ga.gov"/>		

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

Last Name:	<input type="text"/>		
First Name:	<input type="text"/>		
Title:	<input type="text"/>		
Agency:	<input type="text"/>		
Address:	<input type="text"/>		
Address 2:	<input type="text"/>		
City:	<input type="text"/>		
State:	Georgia		
Zip:	<input type="text"/>		
Phone:	<input type="text"/>	Ext: <input type="text"/>	TTY

Fax:

E-mail:

8. Authorizing Signature

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

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

Signature:

State Medicaid Director or Designee

Submission Date:

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

Last Name:

First Name:

Title:

Agency:

Address:

Address 2:

City:

State:

Georgia

Zip:

Phone:

Ext:

TTY

Fax:

E-mail:

Attachments

lrhodes@dch.ga.gov

Attachment #1: Transition Plan

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

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:

Eliminating services with no utilization:

- Transition Coordination (Pre-discharge)
- Transition Coordination (Month 1-6)
- Transition Coordination (Month 7-12)
- Transition Services and Supports
- Transition Community Integration Services

The five transition services in the current approved waiver were added anticipating the sunset of the Money Follows the Person (MFP) program. Given the continued authorization and availability of MFP funds along with zero utilization of the five services, DCH proposes to not renew these services in the waiver. The services may be added via waiver amendment when notice of the end of MFP is certain.

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.

The state assures that this waiver amendment or renewal will be subject to any provisions or requirements included in the state's most recent and/or approved home and community-based settings Statewide Transition Plan. The state will implement any required changes by the end of the transition period as outlined in the home and community-based settings Statewide Transition Plan.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

Appendix A: Waiver Administration and Operation

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

The waiver is operated by the state Medicaid agency.

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

The Medical Assistance Unit.

Specify the unit name:

Department of Community Health, Service Administration and Delivery

(Do not complete item A-2)

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

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

(Complete item A-2-a).

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

Specify the division/unit name:

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

Appendix A: Waiver Administration and Operation

2. Oversight of Performance.

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

As indicated in section 1 of this appendix, the waiver is not operated by another division/unit within the

State Medicaid agency. Thus this section does not need to be completed.

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

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

Appendix A: Waiver Administration and Operation

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

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

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

The Medicaid Agency contracts with its Medical Management Agency (MMA) to perform level of care reviews initially and ongoing across all waiver programs. Although review of assessment documents varies based on the specific population served, the process and review staff are consistent across the waiver programs. The MMA provides multiple contracted functions for the State including review of hospital outlier claims, review and approval of DME items, assessment and level of care determination in the State's Waiver Program for people with severe physical impairment and/or TBI, review of eligibility and assessment for medically fragile children served through the Georgia Pediatric Program, nursing home admission review, ventilator-care prior authorization and other medically related functions.

The Medicaid Agency also contracts with the Division of Aging Services for use of an electronic information system (EIS). The EIS houses assessment and care plan information for the CCSP program. The EIS interfaces directly with the Medicaid Management Information System in the development and management of prior authorization of services as indicated in the plan of care. DCH will contract with the Division of Aging Services ongoing for use of the EIS. Additionally, the Medicaid Agency contracts with the Aging and Disability Resource Connection (ADRC), which serves as the coordination agency for information and triage of home and community-based services, including screening requests for admission into the waiver program. The ADRCs make referrals to care coordination agencies as selected by the applicant once the need for services has been established and funding is available. The ADRC refers the applicant to the selected care coordination agency for full assessment.

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

Appendix A: Waiver Administration and Operation

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

Not applicable

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

Check each that applies:

Local/Regional non-state public agencies perform waiver operational and administrative functions at the local

or regional level. There is an **interagency agreement or memorandum of understanding** between the State and these agencies that sets forth responsibilities and performance requirements for these agencies that is available through the Medicaid agency.

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

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

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

Appendix A: Waiver Administration and Operation

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

The ADRC and the Medical Management Agency (MMA) perform functions of the waiver under the authority of the Medicaid Agency through contracts. Those agreements outline the roles, standards, and operating expectations under the title "deliverables." Contract deliverables provide data related directly to waiver standard assurances. The State Medicaid Agency monitors the performance of the Medical Management Agency (MMA) and the ADRC on a monthly basis. Data that reflects need for remediation or correction results in a formal deficiency with a corrective action plan required from the contractor. Subsequent data is reviewed by the Program Specialists, Supervisor, and Director which can result in request for policy or process changes, training, or system revision.

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:

Both the ADRC and the MMA perform functions of the waiver under the authority of the Medicaid Agency through Interagency Agreement and/or Contract. Those agreements outline the roles, standards and operating expectations under the assurances.

Examples of data provided by the two agencies include:

- Inquiries, screening, and applications to the waiver program
- Determination of level of care prior to providing waiver services and annually at a minimum
- Number and reasons for applicant denial with appeal rights noted
- Level of care report by individual participant with date of next review
- Individuals transitioned to community from institutions through the MFP program

The Medicaid Agency meets with the ADRC quarterly and the MMA monthly for the purpose of evaluating the data provided, determining any need for remediation, and assisting in the development of remediation plans if necessary. State Medicaid staff, through direct participation in team conference or through electronic record reviews, evaluate the performance of both the ADRC and the MMA with regard to level of care determination. The ADRC completes initial screening of applicants for referral to care coordination to conduct a full assessment. The level of care assessment information is then submitted to the MMA for review and validation. The MMA reviews assessment data for the purpose of conducting level of care determination

The Medicaid Agency validates all functions of the contracted entity using a random sample desk review that provides a .95 confidence level. Contract metrics for all contracted agencies are evaluated quarterly. Metrics include appropriate level of care determinations, enrollment activity for access to the waiver, compliance with standards of promptness, home and community-based waiver service information triage and dissemination, and appropriate reporting and representation in fair hearing activities. The data is gathered on a monthly basis and reported and analyzed quarterly. Any non-compliance with a contracted metric can lead to corrective action, liquidated damages, and termination of the contract. Report cards are maintained of contractor performance.

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 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		

Function	Medicaid Agency	Contracted Entity
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 States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

a. Methods for Discovery: Administrative Authority

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

i. Performance Measures

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

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

Where possible, include numerator/denominator.

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

Performance Measure:

Number and percent of contractor records that reflect compliance with SMA delegated functions N: Number of contractor records that reflect compliance with SMA delegated functions; D: Number of contractor records reviewed by the SMA.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

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

		Interval = 95 percent confidence level and a +/- 5 percent margin of error
Other Specify: <input type="text"/>	Annually	Stratified Describe Group: <input type="text"/>
	Continuously and Ongoing	Other Specify: <input type="text"/>
	Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of adverse level of care determinations reviewed and confirmed by the
 SMA N: Number of adverse level of care determinations reviewed and confirmed by the
 SMA; D: Total number of adverse level of care determinations reviewed by the SMA

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis(<i>check each that applies</i>):
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: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

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

b. Methods for Remediation/Fixing Individual Problems

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

Remediation activities may be performed by any one of several agencies. Data to support the standard assurances is reviewed in quarterly meetings. Minutes of the meetings are maintained for historical purposes and to track action items for further remediation. Strategies for remediation takes place when deficiencies are found during the quarterly meetings with the contract agencies. Plans for remediation are developed.

Additionally, the Medicaid Program Integrity Unit monitors participant records during on site reviews, identifying individual problems and requiring that the incident is corrected or remediated.

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

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

c. Timelines

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

No**Yes**

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

Appendix B: Participant Access and Eligibility**B-1: Specification of the Waiver Target Group(s)**

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

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
Aged or Disabled, or Both - General					
		Aged		65	
		Disabled (Physical)		0	64
		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			
		Developmental Disability			

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
		Intellectual Disability			
Mental Illness					
		Mental Illness			
		Serious Emotional Disturbance			

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

There is not a minimum nor maximum age for waiver enrollment.

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:

Waiver participants with physical disabilities admitted prior to age 64 but who reach the age of 64 while a participant in the waiver remain in the waiver program with no interruption in service.

Appendix B: Participant Access and Eligibility

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

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

No Cost Limit. The state does not apply an individual cost limit. *Do not complete Item B-2-b or item B-2-c.*

Cost Limit in Excess of Institutional Costs. The state refuses entrance to the waiver to any otherwise eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed the cost of a level of care specified for the waiver up to an amount specified by the state. *Complete Items B-2-b and B-2-c.*

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

A level higher than 100% of the institutional average.

Specify the percentage:

Other

Specify:

Institutional Cost Limit. Pursuant to 42 CFR 441.301(a)(3), the state refuses entrance to the waiver to any otherwise

eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed 100% of the cost of the level of care specified for the waiver. *Complete Items B-2-b and B-2-c.*

Cost Limit Lower Than Institutional Costs. The state refuses entrance to the waiver to any otherwise qualified individual when the state reasonably expects that the cost of home and community-based services furnished to that individual would exceed the following amount specified by the state that is less than the cost of a level of care specified for the waiver.

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

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

The following dollar amount:

Specify dollar amount:

The dollar amount (*select one*)

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

Specify the formula:

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

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

Specify percent:

Other:

Specify:

Appendix B: Participant Access and Eligibility

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

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

Face-to-face assessment and development of the plan of care is used to ensure that all waiver participants' care can be provided within the individual cost limit. The initial assessment and development of plan of care takes into consideration the applicant's functional needs, level of caregiver support if present, and environmental factors that impact the health and welfare of the applicant. To ensure greatest comparability to the nursing home population, the State adopted the use of the Minimum Data Set - Homecare for use in the initial assessment and all subsequent assessments. Use of the Homecare version of the MDS ensures that the waiver population is assessed using the same domains used to evaluate the needs of nursing home residents through the MDS 3.0.

The development of the plan of the care includes planning, with the applicant and/or representative, the type, duration and frequency of services needed to meet the needs of the individual along with the cost of those services. The services as outlined in plan of care are then compared against the cost for level of care as outlined in the waiver per year. Should the need for services exceed the individual cost limit the applicant and/or legal representative is notified of ineligibility in writing including notification of the right to hearing and instructions about how to request a hearing.

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

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

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

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

Once services are initiated, the care coordinator conducts case conferences with the client/family for clients whose average monthly cost of care is expected to exceed the average monthly cost of care at a nursing facility. If additional services above the amount of the individual cost limit are needed, care coordination will communicate the reason for the cost and whether there is an expected reduction in service. Additional services may be offered on a short-term basis if it is anticipated that the cost of services over the period of a year will not exceed the individual cost cap.

Waiver clients whose service cost exceeds 105% of the average monthly nursing home cost for more than two months, may also be offered non-Medicaid community resources as an alternative, or supplement to, waiver services.

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	45373
Year 2	

Waiver Year	Unduplicated Number of Participants
	49398
Year 3	53779
Year 4	58550
Year 5	63743

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	
Alzheimer's Disease and Related Dementia Diagnoses	
Institutional Transitions	

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*):

Alzheimer's Disease and Related Dementia Diagnoses

Purpose *(describe):*

In Georgia there has been a statewide focus on addressing the needs of aging individuals with Alzheimer's Disease and related Dementia diagnoses. As part of a statewide taskforce many recommendations to various state agencies were made. One noted recommendation was to allocate slots within the Elderly and Disabled waiver to immediately address the needs of individuals with Alzheimer's to obtain services. It was determined that the Alzheimer's population is frequently managed through informal supports until an immediate need for care becomes critical. By isolating slots within the waiver DCH and Georgia believes that individuals will be diverted from institutional placements.

Describe how the amount of reserved capacity was determined:

The amount of reserved capacity was determined through work of a statewide taskforce on the likely number of annual recipients in Georgia who could benefit from immediate placement on the waiver to avoid institutionalization. Funding associated with this estimation was allocated by the Georgia legislature specific to obtaining reserved capacity within the waiver.

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

Waiver Year	Capacity Reserved
Year 1	100
Year 2	100
Year 3	100
Year 4	100
Year 5	100

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):*

Institutional Transitions

Purpose *(describe):*

Georgia has long demonstrated a commitment to providing care systems that enable its citizens to receive compassionate care in settings that are appropriate to individual needs and independence, steadily increasing its funding for HCBS. Since 2007, Georgia has participated in the Money Follows the Person Demonstration Program. Georgia will reserve slots specific to individuals transitioning to a Home and Community Based Setting from an institution.

Describe how the amount of reserved capacity was determined:

Reserving capacity for 125 persons per year who transition from Long Term Care to the community. This reserved capacity was determined from historical utilization data for MFP and allocated funding associated with the sustainability plan associated with MFP.

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

Waiver Year	Capacity Reserved
Year 1	125
Year 2	125
Year 3	125
Year 4	125
Year 5	125

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:

Applicants are eligible for admission into the waiver if they meet the following requirements:

Functional impairment caused by physical limitation(s)

At least one unmet need of care-

DCH at screening utilizes the Determination of Need-Revised (DON-R) to determine an unmet need for care. The DON-R is a validated instrument to determine level of impairment in 7 areas of Activities of Daily Living (ADL) and in areas of Instrumental Activities of Daily Living(IADL). With respect to the waiver, the individual must have at least one unmet need in an ADL in order to be eligible. If the functional impairment and unmet need fall in the area of IADLs, the individual may qualify due to cognitive impairment, typically related to Alzheimer's Disease or other dementia diagnosis.

Additionally must require at least one waiver service at least once per month. All case management is now reimbursed as a direct waiver service, thus qualifies as the one service per month required. This option is time-limited and typically reserved for individuals who are interviewing providers or otherwise in a provider selection process.

Applicant must meet the Intermediate Level of Care certification for nursing facility placement.

The applicant must be Medicaid eligible or potentially Medicaid eligible under the expanded waiver criteria after admission to the waiver.

Health and safety must be met by existing outlined waiver services and state plan services with any additional non Medicaid supports available.

The applicant must choose community-based services rather than institutional care.

An applicant or member may only participates in only one waiver program at a time.

Services for the member must fall within individual cost neutrality as outlined in the waiver document.

The applicant or recipient's home environment must be free of illegal behavior and threatening conditions.

Appendix B: Participant Access and Eligibility

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

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

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

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

§1634 State

SSI Criteria State

209(b) State

- 2. Miller Trust State.**

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

No

Yes

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

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

Low income families with children as provided in §1931 of the Act

SSI recipients

Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121

Optional state supplement recipients

Optional categorically needy aged and/or disabled individuals who have income at:

Select one:

100% of the Federal poverty level (FPL)

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

Specify percentage:

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

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

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

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

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

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

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

Specify:

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

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

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

Select one and complete Appendix B-5.

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

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

Check each that applies:

A special income level equal to:

Select one:

300% of the SSI Federal Benefit Rate (FBR)

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

Specify percentage:

A dollar amount which is lower than 300%.

Specify dollar amount:

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

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

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

Aged and disabled individuals who have income at:

Select one:

100% of FPL

% of FPL, which is lower than 100%.

Specify percentage amount:

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

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

The following standard included under the state plan

Select one:

SSI standard

Optional state supplement standard

Medically needy income standard

The special income level for institutionalized persons

(select one):

300% of the SSI Federal Benefit Rate (FBR)

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

Specify the percentage:

A dollar amount which is less than 300%.

Specify dollar amount:

A percentage of the Federal poverty level

Specify percentage:

Other standard included under the state Plan

Specify:

The following dollar amount

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

The following formula is used to determine the needs allowance:

Specify:

Other

Specify:

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

Not Applicable

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

Specify:

Specify the amount of the allowance (select one):

SSI standard

Optional state supplement standard

Medically needy income standard

The following dollar amount:

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

The amount is determined using the following formula:

Specify:

iii. Allowance for the family (select one):

Not Applicable (see instructions)

AFDC need standard

Medically needy income standard

The following dollar amount:

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

The amount is determined using the following formula:

Specify:

Other

Specify:

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

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

Select one:

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

The state does not establish reasonable limits.

The state establishes the following reasonable limits

Specify:

The costs are allowed as income deductions up to specific dollar limits as to specific services and items. The dollar limits represent reasonable fees for services and items for this State as determined by Georgia Medicaid Incurred Medical Expense fee schedule.

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:

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

The provision of waiver services at least monthly

Monthly monitoring of the individual when services are furnished on a less than monthly basis

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

quarterly), specify the frequency:

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

Directly by the Medicaid agency

By the operating agency specified in Appendix A

By a government agency under contract with the Medicaid agency.

Specify the entity:

Level of care evaluations and reevaluations for applicants/participants are performed by case management providers using a team consisting of: nurses, non-clinical case managers who assist in care plan development. For enhanced case management a medical director and a primary care physician is also included in the case management evaluations team. The assessment/reassessment performed by the case management agency is then reviewed by the State's Medical Management Review Organization for the purpose of level of care validation. The Medical Management Review Organization uses a team of registered nurses and physicians to review assessment documentation and validate level of care.

Other

Specify:

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

The educational/professional qualifications of persons performing initial evaluations of level of care for waiver participants are licensed nurses. The nurse may be assisted in the initial evaluation process by a social worker who is able to complete the non-medical components of the MDS-HC and participate in development of the plan of care with the applicant/family members. Applicants served in enhanced case management receive additional evaluation by the provider medical director and primary care physician.

- 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.

The State uses its Intermediate Level of Care for Nursing Home criteria to determine the individual eligibility for waiver services at the time of initial assessment and reassessment. The case management entity uses the Minimum Data Set Home Care (MDS-HC) assessment to match needs identified through assessment to an algorithm which crosswalks the MDS-HC assessment questions to the State's established nursing facility level of care criteria. Attestation to the level of care determination is further confirmed by physician review and signature on the level of care criteria using the State's standard form developed for applicants seeking level of care determination for nursing facility care.

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

The same instrument is used in determining the level of care for the waiver and for institutional care under the state Plan.

A different instrument is used to determine the level of care for the waiver than for institutional care under the

state plan.

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

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

The initial level of care assessment is completed by a nurse. If licensed nurses are used to complete the assessment, a registered nurse reviews the assessment and assures crosswalk to the nursing level of care determinant. A face-to-face visit is made with the program applicant at the residence or institution where they reside. The initial level of care assessment, which summarizes the clients physical, cognitive, social, emotional and environmental status, is completed during the face to face visit. The MDS-HC is the instrument used to gather information and to determine if the applicant meets the nursing home level of care criteria.

The assessment instrument used to gather and determine the level of care criteria for the evaluation process is the same instrument used during reevaluation. The nurse conducts a reevaluation for determination of the clients level of care using the process noted above for admission to the program. Reevaluation of each waiver participant is conducted annually or more often if prompted by a significant change in condition.

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

Every three months

Every six months

Every twelve months

Other schedule

Specify the other schedule:

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

The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.

The qualifications are different.

Specify the qualifications:

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

The Medical Management Agency and DCH use an electronic record keeping system that tracks and manages standards of promptness for all functions. For Traditional and Enhanced Case Management the reevaluations are submitted through Medical Management Review Organization. The Medical Management Review Organization compiles the reports for DCH validation and DCH review timeliness by each traditional and enhanced case management agency. Direct record reviews of a sample of participants in each site are performed by the Medicaid Program Integrity Unit but and by DCH Waiver Policy staff. These record reviews include validation of timely reevaluations.

- 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:

Electronically retrievable records of evaluations and reevaluations will be maintained, for a minimum of six years, by the assessing agencies. Records are maintained by case management entities and the medical management agency. The case management agency that performed the assessment/reassessment is required to maintain the records for six years, regardless of continued participation in the Medicaid program.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of LOC determinations conducted for all applicants for whom there is a reasonable indication that services may be needed in the future; N = Number of LOC determinations conducted for all applicants for whom there is a reasonable indication that services may be needed in the future; D= Total number of LOC determinations reviewed

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

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

Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div>95 percent confidence level and a +/- 5 percent margin of error</div>
Other Specify: <div>Medical Management Agency</div>	Annually	Stratified Describe Group: <div></div>
	Continuously and Ongoing	Other Specify: <div></div>
	Other Specify: <div></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div></div>	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: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

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

Performance Measures

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

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of waiver participants whose level of care determinations are completed using the process and instruments in the approved waiver. N=Number of waiver participants whose level of care determinations are completed using the process and instruments in the approved waiver; D=Total number of waiver participants whose level of care determinations were reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):

State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div>95 percent confidence level and a +/- 5 percent margin of error</div>
Other Specify: <div>Medical Management Agency</div>	Annually	Stratified Describe Group: <div></div>
	Continuously and Ongoing	Other Specify: <div></div>
	Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

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

The Medicaid Agency uses on-site and off-site reviews by the Quality Team staff members and the Medicaid Program Integrity Unit to review level of care determinations prior to waiver admission and at annual reevaluation. The Program Integrity Unit performs random sample reviews of EPCCM agency level of care determinations in a random sample selection method. The Medicaid Agency additionally reviews level of care determinations using a contract Medical Management Entity as described in Appendix A and using Program Specialists who review and analyze data collected by both entities.

b. Methods for Remediation/Fixing Individual Problems

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

As individual problems are discovered or if data analysis indicates that there is a need for remediation, the problems are remediated directly with the contracted agencies that assures level of care determination. Any waiver participant found to not meet level of care is provided with written notice and advised of his right to a hearing along with legal resources and a description of the process. Further, discharge planning is required of all case management entities to assure, to the extent possible, that other options for service if needed have been explored and offered. This process is also followed if the Medicaid Agency finds, through its Program Integrity Unit, Quality Monitoring Staff or Program Specialists, that a waiver participant fails to meet level of care requirements.

If data analysis indicates that a particular agency or region is problematic, the Medicaid Agency develop and implement training to ameliorate the problem, analyzing data related to future waiver activities to assure that the training was effective. Upon discovery of multiple occurrences or related trends, the Medicaid Agency will require a retraining of all level of care administering personnel. The training methodology must be approved by the Medicaid Agency. Trends of greater significance will require corrective action which must be approved by the Medicaid Agency as appropriate in design and scope with satisfactory results.

Specific Remediation Processes for Level of Care Quality Improvement:

When discovery methods reveal problems related to LOC completion, timeliness, etc., the Program Director or Quality Team staff member resolves the issue as it affects the individual participant and documents the resolution in the participant's record. A plan of correction is assigned as applicable. The corrective action plan and follow up actions are documented by the contracted agencies.

Finally, the Medicaid Program Integrity Unit reviews a random sample of records annually to assure compliance with all waiver policies including level of care determination at admission and annually. The Medicaid Agency has the authority and does recoup claims paid for waiver services should the participant fail to meet level of care or be found to have an expired level of care determination.

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: <div></div>	Annually
	Continuously and Ongoing
	Other Specify: <div></div>

c. Timelines

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

During the initial face-to-face assessment, the assessing nurse informs eligible individuals about the services available under the waiver during development of a plan of care and further informs them of their choice of either institutional or home and community based waiver services. This choice is documented on a standardized Authorization for Release of Information and Informed Consent Form at the initial face-to-face assessment home visit. Each year at annual redetermination the waiver participant is again afforded the option of selecting either home and community services or nursing facility services. The state assures that each individual found eligible for the waiver will be given free choice of all qualified providers of each service included in his or her written plan of care. Choice of provider is documented on the written plan of care.

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

Freedom of Choice forms, which are signed during the initial face to face assessment visit and annually, are maintained for a minimum of five years by the case management agencies. Medicaid providers are required to maintain records for a period of six years regardless of continued participation in the Medicaid program.

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):

All waiver applicants are provided meaningful language access to limited English proficient and or sensory impaired customers to the waiver program. Both the Department of Community Health (DCH) and the Department of Human Resources (DHR) adhere to the legal authority of Title VI of the Civil Rights Act of 1964 (Section 601), 42 U.S.C. §2000d, et seq., the Rehabilitation Act of 1973 (Section 504), the Americans with Disabilities Act (ADA) of 1990 (Title II), and the 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).

To that end, the Medicaid Agency, contracted agencies, and Medical Management Contractor provide meaningful access to those individuals who are limited English proficient by providing such assistance as language assistance services by bi-lingual staff, contract interpreters, telephone interpreters or through qualified community contacts within universities and other resources.

Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	Adult Day Health		
Statutory Service	Case Management		
Statutory Service	Out-Of-Home Respite		
Statutory Service	Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services		
Extended State Plan Service	Occupational Therapy in Adult Day Health Care		
Extended State Plan Service	Physical Therapy in Adult Day Health Care		
Extended State Plan Service	Speech Therapy in Adult Day Health Care		
Other Service	Alternative Living Services (ALS)		
Other Service	Assistive Technology		
Other Service	Emergency Response Services (ERS)		
Other Service	Financial Management Services (FMS)		
Other Service	Home Delivered Meals (HDM)		
Other Service	Home Delivered Services (HDS)		
Other Service	Skilled Nurses Services (SNS)		
Other Service	Structured Family Caregiving		

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Service:

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:

Sub-Category 1:

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 Health (ADH) is a community-based, medically-oriented day program that provides social, cultural, health-related and rehabilitative services to members who are functionally impaired. The ADH supports members with chronic illnesses and assists members to recover from an acute illness or injury. The service needs of the ADH member are reflected on the Care Plan, and approved by the members physician. Adult Day Health Providers offer health related services, skilled therapies, assistance with activities of daily living, therapeutic activities, food services, education to care givers, emergency care, and preventive and rehabilitative services.

Two levels of service, Level I and Level II, identify the intensity of care required by individual members. Level I residents require minimal assistance and verbal cueing whereas Level II, which is the more intensive level of service, also provides members with specialized nursing and therapy services. Individual waiver participant needs identified through assessment and confirmed at annual re-evaluation determine the level required by each waiver participant.

Health related services, which are performed by either an LPN, under the direct supervision of an RN, or by an RN on staff, includes monitoring members vital signs, medication administration and management, observing members functional level, and noting any changes in the members physical condition.

Specialized therapies, which can be provided directly by the ADH center or under subcontract, are available to members receiving ADH services. Occupational, Physical, and Speech Therapy are performed by or under supervision of an appropriate therapist currently licensed to practice in the State of Georgia.

The ADH center provides assistance with activities of daily living (ADLs) such as bathing, grooming, dressing, toileting, ambulating, and eating. Members receiving personal care assistance through Home Health Services or Personal Support Services, are not authorized to receive a full day (minimum of 5 hours) of ADH service unless both services are required to maintain a member in the community. This determination is made by the care coordinator and the attending physician.

Therapeutic activities are offered to meet the members individual needs, abilities, and interest. The activity program, which includes but not limited to arts and crafts, pet therapy, field trips, and group exercise, promotes the members physical, cognitive and emotional health. To meet the nutritional needs of the member, a noon meal and afternoon or morning snack is provided to the member according to physician orders. Regular, therapeutic or specialized diets are prepared daily on-site or under subcontract with an outside vendor who agrees to comply with food and nutritional requirements and guidelines.

Because transportation service is not included in the rate for ADH service, the members representative may transport the member to the center or the ADH provider may utilize the State of Georgia's Non Emergency Transportation broker system.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

ADH centers must comply with the Home and Community Based Settings Rule.

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

Adult Day Health Level 1 full day, minimum of 5 hours
 Adult Day Health Level 1 partial day, minimum of 3 hours
 Adult Day Health Level II, full day, minimum of 5 hours
 Adult Day Health Level II, partial day, minimum of 3 hours

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	ADH Provider

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Adult Day Health

Provider Category:

Agency

Provider Type:

ADH Provider

Provider Qualifications

License (*specify*):

Business License

Registered Nurse with a valid Georgia Licenses, Register Nurse Practice Act O.C.G.A 43-26-1

Certificate (*specify*):

Other Standard (*specify*):

Must meet the requirements outlined in C-2(f).

Must meet DCH and DHS enrollment criteria.

Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

Verification of Provider Qualifications

Entity Responsible for Verification:

Department of Community Health Provider Enrollment and Medicaid Policy Divisions

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

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:**Alternate Service Title (if any):****HCBS Taxonomy:****Category 1:****Sub-Category 1:****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 is a service that coordinates the delivery of waiver services with medical care, educational, and other community services. Case Managers work to assist waiver participants in gaining access to needed waiver and State plan Medical service. In addition to Medicaid Services other community based services and educational services are identified and included in the plan of care regardless of the funding source for the service to which access is granted.

Traditional Case Management is offered as a service for individuals who are not interested or identified as needing a connection to a primary care physician. Enhanced Case Management is offered to waiver participants with complex health and social needs who may benefit from integration of their primary health care with waiver and other support services. Waiver participants may choose between traditional case management and enhanced case management. However, only one case management model will be allowed.

The overall goals of case management for either model are to: 1.) Reduce the need for long-term institutional placement by increasing options in the community; 2.) Prevent the level of disability and disease from increasing in chronically ill adults; 3.) Eliminate fragmented service delivery through outcome based case management; and 4.) Reduce inappropriate emergency room use and multiple hospitalizations caused by preventable medical complications.

In an effort to meet the aforementioned goals, the Case Manager interacts with the member no less often than monthly and makes a face-to-face contact with the member on a quarterly basis at a minimum. Contact with the waiver participant's identified circle of support, waiver service providers, and other medical providers is required annually and as any indication of significant change of condition is identified.

For enhanced case management, contact with the waiver participant's primary care physician also occurs bi-annually for the purpose of coordinating HCB services with the medical needs of the participant. The purpose of the bi-annual contact with the PCP is to review the clinical condition of the member, changes in the member's health and functional status, and recommend changes related to the member's place of care. The coordination of services between the Primary Care Physician (PCP) and the case manager ensures that decisions for nursing home placement of members will not occur without exploration of all possible routes to a community plan. The PCP plays an active role in educating the members about disease treatments and preventive interventions, medication review, and wellness promotion to enhance compliance and health status.

Goals are established during the care plan process. They are reviewed quarterly by case management and recorded as met or not met. For every goal that is not "met" an action plan is developed by the Case Manager. Examples of corrective action may include:

- --Arranging patient education for the member or informal caregiver
- --Scheduling an appointment with medical staff
- --Increasing service levels or changing service categories
- --Coordinating with providers on service delivery issues

Corrective action plans are documented in the case notes and reviewed quarterly with the member, caregiver, and medical staff. For repeated variances (goals not met) the Case Manager is responsible for increasing efforts and resources to resolve the variance identified.

As a means to resolve problems quickly, the case manager targets appropriate resources and implements preventive efforts to ensure members remain in the community and stay as healthy as possible. Constant communication between the Case Manager, the member, the caregiver, the member's medical providers, and the waiver service providers is a core component of case management. TCM.

Case management is provided to members who meet waiver admission criteria, is not furnished to institutionalized members prior to their transition to the waiver; nor it is furnished to members in institutional settings.

Case Management providers receive a monthly fee for services that is payable only after the delivery of documented case management ECM services. Enhanced case management coordination services are eligible for a quality incentive fee specific to compliance with level of care reviews, rate of discharge to nursing facilities, member satisfaction with service delivery, and coordination of direct services that is evaluated to be above the baseline measures for enhanced case management. The quality incentive fee is calculated using claims and audit data, programmatic reporting data, and member satisfaction surveys. An enhanced case management fee based on quality

metrics above the baseline for case management is added to the service unit rate.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Traditional Case Management Providers
Agency	Enhanced Case Management Providers

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:

Traditional Case Management Providers

Provider Qualifications

License (*specify*):

N/A

Certificate (*specify*):

N/A

Other Standard (*specify*):

A minimum of two years of experience providing case management.
Must meet all DCH enrollment criteria for care coordination.

Verification of Provider Qualifications

Entity Responsible for Verification:

Department of Community Health Medicaid Policy Unit and Provider Enrollment Section.

Frequency of Verification:

Upon enrollment, at revalidation, and as indicated by the results of auditing.

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:

Enhanced Case Management Providers

Provider Qualifications

License (*specify*):

n/a

Certificate (*specify*):

n/a

Other Standard (*specify*):

-A minimum of two years of experience providing case management and disease management monitoring.
-Must meet all DCH enrollment criteria for ECM programs.
-Written agreement with Primary Care Physicians demonstrating agreement with the care management process.

Verification of Provider Qualifications

Entity Responsible for Verification:

Department of Community Health (DCH), Division of Medicaid and Provider Enrollment.

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

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:**Alternate Service Title (if any):****HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

Out of Home Respite Care is a service that provides temporary relief to the caregiver responsible for performing or managing the care of a client who is functionally impaired and cannot be safely left alone in the home.

Out-of-Home Respite enables the caregiver to meet planned or emergency needs of the family, is provided in an out of home setting approved by the Department of Community Health. Examples of approved settings include Adult Day Health Care Centers that also offer overnight care and Alternative Living Services Group and/or Family Model facilities.

Clients who receive Out of Home Respite Care (which may include an overnight stay) are generally dependent upon a caregiver for personal care or the daily maintenance of a safe, clean environment.

Respite care workers provide non-skilled tasks and services that are normally provided by the caregiver. Tasks such as preparing meals, reminding clients to take their medication, assisting with dressing, toileting, and bathing, are activities associated with respite care and are arranged by the care coordinator, the clients caregiver, and the provider.

If the clients caregiver requires at least three hours of relief per visit, care coordination makes the determination that respite care services are needed. However, depending on the service units approved, respite care may be taken in longer segments in order to allow the caregiver several consecutive days of relief. If warranted, Personal Support Services may be provided on the same day the client receives respite care services. All Respite Care services are supervised by a Registered Nurse and identified tasks are based on the clients plan of care.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

Out of Home Respite daily rate has a minimum of 12 hour requirement

Out of Home Respite hourly rate is reimbursed per 15-minute unit for a maximum of 32 units (8 hours) per day with a minimum of 3 units (45 minutes) per 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
Agency	Enrolled Respite care providers, Alternative Living Group Model Providers (ALS) Adult Day Health Providers (ADH), and Nursing Homes

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Out-Of-Home Respite

Provider Category:

Agency

Provider Type:

Enrolled Respite care providers, Alternative Living Group Model Providers (ALS) Adult Day Health Providers (ADH), and Nursing Homes

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

Respite Care Provider: Private Home Care Provider license issued by the DCH, Healthcare Facilities Regulation Division

ADH: Business License and a registered nurse with a valid Georgia License. Register Nurse Practice Act O.C.G.A. 43-26-1

ALS Group Model: Personal Care Home license issued by the DCH, Healthcare Facilities Regulation Division

Nursing Home: Active Nursing Home license issued by the DCH, Healthcare Facilities Regulation Division

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

Respite Care Provider Agency: Must meet the requirements outlined in section C-2(f).
Must meet DCH enrollment criteria.
Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

ADH Provider: Must meet the requirements outline in section C-2(f).
Must meet DCH enrollment criteria.
Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

ALS- Group Model Provider: Must meet the requirements outlined in section C-2(f),
Must meet DCH enrollment criteria.
Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

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

Respite Care Agency: Department of Community Health Provider Enrollment and Medicaid Policy Divisions.

ADH Provider Agency: Department of Community Health Provider Enrollment and Medicaid Policy Divisions.

ALS- Group Model Provider: Department of Community Health Provider Enrollment and Medicaid Policy Divisions

Frequency of Verification:

Respite Care Agency: Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

ADH Provider: Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

ALS - Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

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

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

Service Type:**Service:****Alternate Service Title (if any):****HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

Personal Support Services is provided to individuals at risk of placement in a nursing facility. The intent of the service is to increase the functioning capacity of the members being served and focus on the relationship between the member and the members needs. Personal Support Services (PSS) assist the member to reside in their home or relative's home by offering personal care assistance with Activities of Daily Living (ADLs) such as bathing, dressing, toileting, transferring, ambulation, and with Instrumental Activities of Daily Living (IADL) such as light housekeeping, laundry, meal preparation, assisting with eating, and grocery shopping. Personal Support Services may also include medically related activities such as basic first aid, documenting members liquid intake/output, assisting with self administration of medication, and providing watchful supervision and oversight during the absence of the members care taker. Medically related services are provided as allowable under state laws, rules, and regulations.

Personal Support Extended Services (PSSX), three or more hours of service, provides personal support services, such as ADLs and IADLs, over an extended period of time in a home setting in order to relieve those persons normally responsible for providing care and/or oversight of the member.

Personal Support Services and Personal Support Extended Services are provided to members who meet the following profile:

- Meets the same level of care for admission to a nursing facility;
- Lives alone or lives with a support system who is unable or unavailable to assist with activities of daily living;
- Needs assistance to manage personal care and/or necessary housekeeping tasks;
- Requires activities provided by personal support services to remain in the community.

To avoid duplication of personal care services, members who reside in an Alternative Living Service setting are not eligible to receive PSS/PSSX services. No payment may be made directly or indirectly to members of the individuals immediate family, except as provided in Appendix C-2.

Transportation is not included in the rate for PSS or PSSX Services. Members who do not have a caretaker(s) to provide transportation will contact non-emergency transportation companies. NET is available to Medicaid participants under the State Plan.

Personal Support Consumer Direction is an additional service option offered to consumers who reside in their own home. The services are for the purpose of providing supports to the consumer/representative and/or the family to enhance the consumers ability to reside in their home and community more effectively and/or safely, fostering increased quality of life. The employer (client/representative/guardian) of CD-PSS employee(s) must assure that qualified, trained staff perform or assist the consumer with basic personal care tasks. This includes feeding, bathing, dressing, personal hygiene, grooming, bed mobility (moving about while in bed), toileting, continence care, using adaptive devices, transfers in and out of bed and wheelchairs, mobility (help with walking or using a wheelchair) and using the telephone.

Additionally, the client's staff must be able to provide or assist with meal preparation, light housekeeping tasks, and essential errands. Light housekeeping includes changing bed linens, dusting, vacuuming and doing laundry, shopping, and travel assistance necessary for the persons health and welfare and care of adaptive equipment. The staff must also be able to perform some heavy housekeeping such as mopping floors and taking out garbage.

The employer also manages the individual budget determined for CD-PSS service delivery. The consumer-directed PSS employer must enroll also with a GA Department of Community Health Medicaid Financial Management Services (FMS) provider that will verify applicants and/or employed workers meet required qualifications. An individual serving as a representative for a participant in self-directed services is not eligible to be a participant-directed individual provider of PSS/PSSX services. Please see Appendix E for a detailed description of consumer-directed services.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

Personal Support Service is not to exceed 11-units (2.75 hours) a day
 Personal Support Service Extended requires a minimum of 12-units (3 hours) a 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	Personal Support Services (Self Directed) PSS Worker
Agency	Enrolled Pss Provider Agency / Enrolled PSS Provider as State backup only for Self Direction

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services

Provider Category:

Individual

Provider Type:

Personal Support Services (Self Directed) PSS Worker

Provider Qualifications

License (*specify*):

Certificate (*specify*):

Personal Support Services (Self Directed) Staff must have current CPR and have a First Aide training

Other Standard (*specify*):

CD-PSS workers must demonstrate the willingness, qualifications and ability to provide the consumers care according to specifications defined by the care plan and the consumer/employer.
 Consumer employee qualifications include:
 18 years of age or older
 Maintain current CPR and Basic training certification
 Current TB screening and physical (completed within 3 months prior to hire)
 Basic reading, writing and math skills
 Valid Social Security card (or valid work permit if not a U.S. citizen)
 Knowledge specific consumers condition and ability to provide services specific to the consumers individual needs
 Willingness to comply with the CD-PSS requirements and policies.

Verification of Provider Qualifications

Entity Responsible for Verification:

Consumer/employer, and the Department of Community Health/Medicaid contracted Financial Management Services provider(s)

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services

Provider Category:

Agency

Provider Type:

Enrolled Pss Provider Agency / Enrolled PSS Provider as State backup only for Self Direction

Provider Qualifications

License (*specify*):

Unrestricted license in private homecare issued by the DCH, Division of Healthcare Facilities Regulation

Certificate (*specify*):

Other Standard (*specify*):

Must meet the requirements outlined in section C-2(f).

Must meet DCH enrollment criteria.

Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

Verification of Provider Qualifications

Entity Responsible for Verification:

Medicaid Agency through review of qualifications and licensure

Enrolled PSS Provider as State backup only for Self Direction; Medicaid Agency uses Fiscal Intermediary for verification of individual requirements

Frequency of Verification:

Enrolled PSS Provider: Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

Individual employee under consumer-directed model: Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

Verification of agency licensure annually by Medicaid Agency Program Integrity Unit.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:**Service Title:****HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

In the approved waiver therapies are included in the description of Adult Day Health Care.

Service definition and description:

Specialized therapies are available to waiver participants in the adult day health care center when indicated on the service plan and ordered by a physician. Therapies provided in the ADH Center are intended to enhance or improve the level of function of the waiver participant in the center and in his/her home by continuing rehabilitation activities begun through home health services or outpatient rehabilitation following an acute episode. The ADH Center provides directly, or under subcontract, therapy services prescribed by the participant's physician. The following conditions apply to occupational therapy:

- 1) All occupational therapy services are performed by or under the direct supervision of an occupational therapist licensed to practice in the State.
- 2) Therapy services are coordinated by the ADH RN as part of the waiver participant's service plan through coordination with the case manager.
- 3) A copy of the therapist's initial evaluation, reevaluations and progress notes are retained in the clinical record.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available. Thus, occupational therapy services provided in the ADH Center may supplement the allowable home health therapy visits or may be provided to augment those delivered in the private home setting.

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

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Individual	Licensed Occupational Therapist
Agency	Rehabilitation Agency

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Occupational Therapy in Adult Day Health Care

Provider Category:

Individual

Provider Type:

Licensed Occupational Therapist

Provider Qualifications

License (*specify*):

Occupational therapy

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Verification of license by the ADH Center provider

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Occupational Therapy in Adult Day Health Care

Provider Category:

Agency

Provider Type:

Rehabilitation Agency

Provider Qualifications

License (*specify*):

Individual practitioner occupational therapy license

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

ADH Center provider verification prior to service delivery

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by auditing.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:**Service Title:****HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

In the approved waiver therapies are included in the description of Adult Day Health Care.

Service definition and description:

Specialized therapies are available to waiver participants in the adult day health care center when indicated on the service plan and ordered by a physician. Therapies provided in the ADH Center are intended to enhance or improve the level of function of the waiver participant in the center and in his/her home by continuing rehabilitation activities begun through home health services or outpatient rehabilitation following an acute episode. The ADH Center provides directly, or under subcontract, therapy services prescribed by the participant's physician. The following conditions apply to physical therapy:

- 1) All physical therapy services are performed by or under the direct supervision of a physical therapist licensed to practice in the State.
- 2) Therapy services are coordinated by the ADH RN as part of the waiver participant's service plan through coordination with the case manager.
- 3) A copy of the therapist's initial evaluation, reevaluations and progress notes are retained in the clinical record.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available. Thus, physical therapy services provided in the ADH Center may supplement the allowable home health therapy visits or may be provided to augment those delivered in the private home setting.

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

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Rehabilitation Provider Agency
Individual	Licensed Physical Therapist

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Physical Therapy in Adult Day Health Care

Provider Category:

Agency

Provider Type:

Rehabilitation Provider Agency

Provider Qualifications

License (*specify*):

Licensure of individual therapy practitioners

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Verification of licensure by the ADH Center

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Physical Therapy in Adult Day Health Care

Provider Category:

Individual

Provider Type:

Licensed Physical Therapist

Provider Qualifications

License (*specify*):

Physical Therapy

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Verification of licensure by the ADH Center prior to service delivery.

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:**Service Title:****HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

In the approved waiver therapies are included in the description of Adult Day Health Care.

Service definition and description:

Specialized therapies are available to waiver participants in the adult day health care center when indicated on the service plan and ordered by a physician. Therapies provided in the ADH Center are intended to enhance or improve the level of function of the waiver participant in the center and in his/her home by continuing rehabilitation activities begun through home health services or outpatient rehabilitation following an acute episode. The ADH Center provides directly, or under subcontract, therapy services prescribed by the participant's physician. The following conditions apply to speech therapy:

- 1) All speech therapy services are performed by or under the direct supervision of a speech pathologist or therapist licensed to practice in the State.
- 2) Therapy services are coordinated by the ADH RN as part of the waiver participant's service plan through coordination with the case manager.
- 3) A copy of the therapist's initial evaluation, reevaluations and progress notes are retained in the clinical record.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available. Thus, speech therapy services provided in the ADH Center may supplement the allowable home health therapy visits or may be provided to augment those delivered in the private home setting.

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

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Rehabilitation Agency
Individual	Individual Speech Therapist

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Speech Therapy in Adult Day Health Care

Provider Category:

Agency

Provider Type:

Rehabilitation Agency

Provider Qualifications

License (*specify*):

Individual Speech Therapy practitioner license

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Verification of the therapist license by the ADH provider

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Speech Therapy in Adult Day Health Care

Provider Category:

Individual

Provider Type:

Individual Speech Therapist

Provider Qualifications

License (*specify*):

Speech Therapy

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Verification of practitioner license by the ADH Center

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

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

Service Title:**HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

Alternative Living Services is the provision for twenty-four hour supervision, medically-related personal care, nursing supervision, and health-related support services in state licensed facilities accessible to members who are unable to live independently in their homes. Alternative Living Services is subdivided into two major categories:

(a) Alternative Living Services-Group Model is a free-standing residence, non-institutional in character and appearance and licensed by the state of Georgia to serve seven (7) to twenty-four (24) members.

(b) Alternative Living Services-Family Model is an enrolled provider agency that subcontracts with personal care homes, licensed by the State of Georgia, consisting of two (2) to six (6) beds.

Family and/or group model Alternative Living Services are used to provide support in residential settings when older or disabled waiver participants are unable to continue safely living in their own or family homes. This includes participants with dementia who may not be able to live with family members, younger adults unable to function independently enough to live in their own homes and be supported to extent required because of cost neutrality factors. Though both models function in the same way, the difference is in the size of the facility. Waiver participants may choose to receive services in a larger facility because of the enhanced socialization opportunities available by virtue of having a larger number of residents.

ALS Family and Group Model Services offer a comfortable, home-like environment that ensures the health, safety, and well-being of the members. Services provided are furnished directly by qualified staff members to include Registered Nurses, Licensed Practical Nurses, Nurse Aides, Dietitians, Administrators, Housekeepers, and Maintenance Workers. Personal care services provided will include assistance with bathing, grooming, ambulation, transfers, toileting, medication assistance, meal preparation, transportation arrangement, and laundry services. A provider plan of care is developed and monitored by a Registered Nurse. Ongoing monitoring of the plan of care and service delivery can be provided by a Licensed Practical Nurse under the supervision of an RN. Skilled Nursing Services, physical, occupational, speech therapy, may be provided on a short term basis through Medicare/Medicaid home health programs, and are delivered to waiver participants with approval from the attending physician.

Minimum staffing levels are required based on the size and capacity of the residence. Staffing ratios and staff makeup follows requirements outlined by the licensing agency, a Division of the Department of Community Health, which also serves as the administrative authority of the Medicaid Agency. Of the staff positions listed in the service description, some are employed by the ALS agency for supervision, coordination, and management of medical or other crises as needed. Registered nurses, LPNs and administrators typically are employees of the ALS Provider Agency. The licensed homes must employ nurse aides, cooks, housekeepers and maintenance workers but one position may occupy several roles, e.g. nurse aide/cook.

ALS homes either directly provide or arrange transportation for needs related to community activities. Additionally, homes often arrange volunteer services or activities provided in or outside the home. In the case of family model homes, the setting is a residential neighborhood that may have access to events, walking areas, and neighborhood access. Residents are free to come and go from the facility unless a medical or cognitive condition prevents safe free access to the neighborhood and grounds, in which case they may be accompanied. Larger ALS homes are typically situated in the same neighborhood environments but have a slightly larger capacity.

Members residing in a family/group model facility may not be approved for additional waiver services, such as emergency response system, personal support services, home delivered meals, and/or respite care since these types of services are included in the comprehensive rate paid to the ALS provider and if provided under separate reimbursement would represent duplicate service delivery and reimbursement. Planned visits away from the facility are considered a reimbursable service when such visits are therapeutic in nature, approved by the attending physician, and/or if the member requires hospitalization. Therapeutic visits may not exceed 16 days in any calendar year, and temporary hospitalization is reimbursable up to 7 days during each hospital stay, consistent with the State's nursing facility leave policy approved in the State Plan. Members who exceed days have the right to reserve a bed privately or are offered the first available bed in the ALS facility.

All Assisted Living homes, group or family model, are licensed by the DCH, Healthcare Facilities Regulation Division and must be compliant with State laws, rules, and regulations at enrollment, approval, and ongoing.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the

coverage limits are not available.

ALS homes must comply with the Home and Community Based Settings Rule.

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

Maximum allowable per diem units is 31 per month or 365 annually.

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	Enrolled ALS- Family Model Agencies and ALS Group Model Agencies

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Alternative Living Services (ALS)

Provider Category:

Agency

Provider Type:

Enrolled ALS- Family Model Agencies and ALS Group Model Agencies

Provider Qualifications

License (*specify*):

ALS - Family Model: A non-restrictive license issued by the Georgia Department of Community Health, Healthcare Facilities Regulations Division

ALS- Group Model: A non-restrictive license issued by the Georgia Department of Community Health, Healthcare Facilities Regulations Division

Certificate (*specify*):

Other Standard (*specify*):

All potential willing providers are given the opportunity to enroll as a waiver service provider by meeting the following requirements of the application process:

- (1) The applicant demonstrates related experience managing and operating a business that provides the same, or similar, service(s) as those proposed.
- (2) The applicant has submitted proof of licensure and/or a business license to conduct business in the state of Georgia;
- (3) The applicant is in good standing with the Georgia Office of the Secretary of State;
- (4) The applicant is in current compliance with state licensing, funding, or regulatory entities associated with enrollment in any Medicaid service or non-Medicaid services administered by the Division of Aging Services.
- (5) The applicant completes the enrollment application.
- (6) The applicant successfully meets the requirements of a site visit, if applicable.

The potential provider is encouraged to access information, forms, and manuals by visiting the Department of Community Health website. Training is provided by the Department of Community Health to all provider applicants prior to enrollment.

After the potential provider has successfully completed the application process including training, the Medicaid Agency reviews all enrollment application components to assure compliance with enrollment requirements and determines final approval of all waiver applicant enrollments within 30 days.

Additionally, the provider must meet DCH enrollment criteria and demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

Verification of Provider Qualifications

Entity Responsible for Verification:

Medicaid Agency at enrollment and with annual license renewal

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Assistive Technology

HCBS Taxonomy:

Category 1:

14 Equipment, Technology, and Modifications

Sub-Category 1:

14031 equipment and technology

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

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):

Assistive technology consists of any technology, whether acquired commercially, modified, or customized, that is used to maintain or improve functional capabilities of waiver members with disabilities by augmenting strengths and/or providing an alternative mode of performing a task. Assistive technology, when acquired, is the sole property of the member and therefore will follow the member to any new setting. Federal funding, through the waiver, is the payor of last resort. The need for adaptive equipment and assistive technology must be identified in the Individual Service Plan and approved by a qualified rehabilitation technician or engineer, occupational therapist, physical therapist, augmented communication therapist or other qualified professional whose signature indicates approval.

Assistive technology includes (but is not limited to):

- A. Communication: Screen readers, display video magnifiers, screen magnification, large keyboards, navigation assistant, augmented and alternative communication, emotion recognition and speech to text
- B. Personal Emergency Response System: Portable generators, smoke alarm with vibrating pad/flashing light
- C. Accessibility Software: Alphanumeric, speech amplifiers, electronic speech aids/devices, motion activated electronic devices.
- D. Cognitive: memory aids (smart pen) and educational software.
- E. Education: computer accessibility, telecommunication screens, and voiceover
- F. Home Automation: adoptive locks, motion sensors and audio messages
- G. Medication Management: Telecare devices

Authorization for Assistive Technology is only available when services are not otherwise covered by other COMP services or by any other funding source.

Assistive Technology services and/or supports include:

1. Consultation and assessment to identify and address the Individual's needs as specified in the Individual Service Plan and/or other supporting documentation
2. AT Demonstration- Individual and small group exploration of devices to increase awareness and knowledge of what is available.
3. Individual consultations to support device trials and assist in appropriate device selection.
4. Individual and small group training on specific device to support proper use.
5. Education and training for the Individual and his/her family, guardian, and/or provider staff to aid the Individual in the use of the assistive technology
6. Maintenance and repair of the assistive technology

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

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Certified Assistive Technology Service Agency

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Assistive Technology

Provider Category:

Agency

Provider Type:

Certified Assistive Technology Service Agency

Provider Qualifications

License (*specify*):

For Evaluation and Order: Physicians, physical therapists, occupational therapists, speech language pathologists, audiologists

Certificate (*specify*):

Assistive Technology Professionals certified by Rehabilitation Engineering and Assistive Technology Society of North America

Other Standard (*specify*):

Must meet the requirements outlined in C-2(f).
Must meet DCH enrollment criteria.
Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.
Experience in evaluation of assistive technology need, technology and equipment options, and resources for community support and available resources.

Verification of Provider Qualifications

Entity Responsible for Verification:

DCH provider enrollment

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

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

Service Title:**HCBS Taxonomy:****Category 1:****Sub-Category 1:****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 Emergency Response Services (ERS) system monitors members safety and provides members access to emergency intervention for a medical or environmental crisis. The electronic communication between the member and a central monitoring station provides services seven days a week, twenty-four hours a day, to socially-isolated and geographically-isolated enrolled members. The ERS system is connected to the members telephone and programmed to signal a response once activated from a device that is worn or attached to the member. ERS home units, which are installed by a licensed Low Voltage Contractor, are programmed to dial a toll-free number to access the central monitoring station

Monthly testing is provided by the ERS Provider to detect any malfunction with the system and to ensure that the member is able to use the system properly. Members have access to a toll-free number to contact customer service or to report repairs. In the event of power failure in the home, the home unit has a battery back-up to provide a minimum of twelve hours operation of the ERS unit. Hearing impaired members are provided TDD/TTY service and members whose language is other than English are given access to an interpreter.

In the event of hospitalization, the ERS system remains in the members home and services are covered for up to sixty-two days to avoid additional installation cost.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	An enrolled ERS Provider Agency

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Emergency Response Services (ERS)

Provider Category:

Agency

Provider Type:

An enrolled ERS Provider Agency

Provider Qualifications

License (*specify*):

Licensed as Low Voltage Contractor with the Georgia Office of Secretary of State if the members home requires modification of phone wiring.

Certificate (*specify*):

Other Standard (*specify*):

Must meet the requirements outlined in C-2(f).

Must meet DCH enrollment criteria.

Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Department of Community Health, Division of Medical Assistance and Provider Enrollment.

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

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:

Financial Management Services (FMS)

HCBS Taxonomy:

Category 1:

Sub-Category 1:

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):

Waiver participants choosing to participate in consumer-directed care are required to enroll with an approved Financial Management Services (FMS) provider to support their role as the employer of Consumer Directed Personal Support Services (CD-PSS). The FMS provider may not provide other waiver services. The scope of FMS provider services to the consumer includes: provision of basic budget support, consultation services, and consumer orientation to common law employer functions. The FMS provider conducts up to 5 criminal background checks per year prior to hiring an applicant, and verifies worker citizenship and age for any CD-PSS-workers.

The Financial Management Services (FMS) provider assures that consumer-directed funds for CD - PSS outlined in the individual plan of care and approved on the Service Authorization Form (SAF) are managed and distributed as intended. The FMS provider acts on behalf of the consumer in payroll and accounting activities, filing claims through the MMIS for CD-PSS. Additionally, the FMS provider deducts required federal, state and local taxes for all CD-PSS workers, and as appropriate, applicable unemployment insurance taxes and worker compensation on earned income before dispersing employee payment. The FMS provider is responsible for maintaining separate accounts for each CD-PSS employer and for producing monthly and quarterly expenditure and tracking reports as required by the State Medicaid agency, copying the case management, and the consumer employer.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

Service Delivery Method (check each that applies):

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Financial Management Services Provider

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Financial Management Services (FMS)**Provider Category:**

Agency

Provider Type:

Financial Management Services Provider

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

Georgia Business License

Certificate (*specify*):

Must be approved by the IRS (under IRS Revenue Procedure 70-6) and meet requirements and functions as established by the IRS Code, Section 3504.

Other Standard (*specify*):

Must meet DCH enrollment criteria.

Understands the laws and rules that regulate the expenditure of public resources.

Utilizes accounting systems that operate effectively on a large scale as well as track individual budgets.

Adheres to the timelines for payment that meet the individuals needs within DOL standards.

Develops, implements and maintains an effective payroll system that adheres all related tax obligations, both payment and reporting.

Conducts and pays for criminal background checks (national) and age verification on service support workers up to a maximum of five (5) background checks per calendar year per member. Performs additional background checks at the expense of the consumer.

Generates service management and statistical information and reports during each payroll cycle.

Provides startup training and technical assistance to consumers, their representatives, and others as required.

Processes and maintains all unemployment records when necessary.

Provides an electronic process for reporting and tracking time sheets and expense reports.

Has at least two years of basic accounting and payroll experience.

Maintains a surety bond issued by a company authorized to do business in the State of Georgia in an amount equal to or greater than the monetary value of the members business accounts managed but not less than \$250,000.

Acts in a fiduciary capacity, file claims accurately on behalf of the consumer, process payroll and other reimbursement services in a timely manner.

Successfully completes a Readiness Review for the Department of Community Health (DCH), demonstrating ability to perform all required functions and services, prior to enrollment.

Is accessible to assist consumers.

Has a toll free telephone line with convenient hours, fax and internet access.

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

DCH Medicaid Medical Assistance Unit and Provider enrollment.

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

C-1/C-3: Service Specification

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

Service Type:

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

Service Title:**HCBS Taxonomy:****Category 1:****Sub-Category 1:****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):

Members who receive HDM services would otherwise prepare meals but are incapable of doing so due to a functional or cognitive impairment, live alone, and/or lack an available support system to assist with meals. To assist in addressing the member's nutritional and health needs, the HDM service offers nutritious meals, nutrition education, nutrition screening, and nutrition counseling. Members at risk for poor nutritional status, such as poor appetite, weight loss or gain of ten pounds in the last six months, or do not eat at least two meals per day, benefit from nutritional assistance and home delivered meals.

HDM service providers, are either current Older Americans Act (OAA) Title III or Social Services Block Grant (SSBG) Nutrition Contractors, or are licensed and accredited hospitals or nursing homes. The provider prepares the meals outside the member's home and delivers the meal to the member. Nutritional content of each meal delivered to members meet the minimum one-third of the recommended dietary allowance (RDA), and are available in the following diet groups:

- Regular absent of any special physical, nutritional or religious need
- Modified altered to meet specific physical requirements
- Therapeutic ordered by the attending physician and followed by a Registered Dietitian.

HDS provider agencies provide member requested options of either hot, frozen, chilled, or shelf-stable meals. Alternative meals are provided depending on the member's physical and/or cognitive impairment or their ability to safely prepare and store meals. All meals provided by HDM services are served to meet the unique dietary needs of the member(s).

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

A maximum of fourteen (14) meals may be delivered per week, plus six emergency meals twice per year or a maximum of 62 meals per month. Plus six emergency meals twice per year.

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

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Enrolled HDM Providers
Agency	Approved home delivered meals providers under the Older Americans Act service funding, hospitals or nursing facilities with permitted dietary units.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Home Delivered Meals (HDM)

Provider Category:

Provider Type:**Provider Qualifications****License** (*specify*):**Certificate** (*specify*):**Other Standard** (*specify*):

Must meet the requirements outlined in section C-2(f).
Must meet DCH and DHS enrollment criteria.
Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.
Must be a current OAA Title III/Social Services Block Grant (SSBG) Nutrition Contractor; or,
A licensed and accredited hospital or nursing facility;
Is in compliance with all applicable state and local fire, health, and sanitation laws and regulations, and
Complies with applicable requirement of the Rules and Regulation for Food Service, Chapter 290-5-14.

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

Appendix C: Participant Services

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

Service Type: Other Service**Service Name:** Home Delivered Meals (HDM)**Provider Category:****Provider Type:****Provider Qualifications****License** (*specify*):**Certificate** (*specify*):**Other Standard** (*specify*):

For Older Americans Act providers, regulated and enrolled by the Department of Human Services,
Division of Aging Services

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

For Older Americans Act providers, the Department of Human Services, Division of Aging Services
For nursing facilities or hospitals, the DCH, Division of Healthcare Facilities Regulations

Frequency of Verification:

with NF and hospital survey and certification
for OAA provider, annually

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

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

Service Type:

Other Service

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

Service Title:

Home Delivered Services (HDS)

HCBS Taxonomy:**Category 1:**

Sub-Category 1:

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):

A licensed home health agency may provide Home Delivered Services (HDS) to members in their home. Home Delivered Services includes skilled nursing, occupation, physical, and speech therapies, home health aides, and medical social work. Members are rendered services in type and frequency as ordered on the care plan, and under the direction of a physician. A home health agency adheres to standards related to record keeping, staff training, and general procedures outlined by the Department of Community Health, Division of Medicaid, policies and procedures for home health.

Members receiving HDS services will receive the first 50 skilled nursing, in-home OT, PT, and/or SP therapy visits from the Medicaid State Plan Home Health program. If more than 50 visits are needed, a service authorization for waiver services is generated by care coordination, and the member is referred to a home health agency enrolled as a service provider under the waiver.

Qualified staff providing Home Delivered Services (HDS) (except for the Medical Social worker), meet the same qualifications and duties as specified by the Federal Conditions of Participation for Medicare certification. Medical Social Services is available to members through an approved Home Health Provider and not a service paid through the Medicaid State Plan Home Health Program.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

Members receive the first 50 visits under the Medicaid State Plan Home Health program within a calendar year. Visits in excess of 50 are reimbursed under the waiver.

Service Delivery Method (check each that applies):

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	licensed home health agency

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

Service Type: Other Service

Service Name: Home Delivered Services (HDS)

Provider Category:

Agency

Provider Type:

licensed home health agency

Provider Qualifications

License (*specify*):

Medicare/Medicaid Home Health Agency

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

Must meet the requirements outlined in section C-2(f).

Must meet DCH enrollment criteria.

Must demonstrate compliance with DCH Policy and Procedure Manual for the applicable service.

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

Medicaid Agency through the DCH Division of Healthcare Facilities Regulations and Provider Enrollment.

Frequency of Verification:

Upon enrollment, recertification, and on an as needed basis as indicated by audit.

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

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

Service Type:

Other Service

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

Service Title:

Skilled Nurses Services (SNS)

HCBS Taxonomy:**Category 1:****Sub-Category 1:****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):

Skilled nursing services are ordered when required to meet the medical needs of the member in the most appropriate setting including, the members home, a relative's home or other location where no duplicative services are available. Skilled nursing services are most commonly provided as an extension of Home Delivered Services, however, if the home health agency under the approved State Plan is unable to provide nursing services, members will be referred to a private home care provider agency licensed to provide licensed and registered nurse services.

SNS may be rendered in type and frequency as determined by the care coordinator and documented on the care plan, and ordered by the physician. Members who are unstable medically, or who are recovering from an acute illness may require SNS in the form of health education, nutritional counseling, skilled nursing supervision and/or monitoring of medication administration.

SNS are performed by a Registered Nurse or, under certain circumstances, a license practical nurse, who is licensed to practice in the State of Georgia, has at least two years of home health experience, and at least one year experience in an administrative or supervisory capacity.

The Elderly & Disabled Waiver Program is intended for those services that are not covered by the State Medicaid Plan or those instances in which a participant's need exceeds State Plan coverage limits and exceptions to the coverage limits are not available.

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

Service Delivery Method (check each that applies):

Participant-directed as specified in Appendix E

Provider managed

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

Legally Responsible Person

Relative

Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Enrolled private home care provider licensed to provide nursing services

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Skilled Nurses Services (SNS)

Provider Category:

Provider Type:

Provider Qualifications**License (specify):**

Certificate (specify):

Other Standard (specify):

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

Frequency of Verification:

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

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

Service Title:

HCBS Taxonomy:**Category 1:**

Sub-Category 1:

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):

Structured Family Caregiving provides support, education and oversight on behalf of waiver participants whose family caregiver lives in the home with the participant. Individual living circumstances are varied and may include a family member living in the home of the waiver participant or the reverse, involving an older or disabled adult moving in to the home of a relative who provides fulltime care. The waiver participant and primary caregiver must be related biologically or by marriage but may not include legally responsible adults such as parents of minor children or spouses of the waiver participants.

Caregivers must be qualified to meet all Federal and State regulatory guidelines, and be able and willing to provide care and support to a participant based on assessed needs. Caregivers receive training as skill are identified through self-report, review of caregiver documentation, or case management identification of need. The enrolled agency reimburses caregivers through a per diem stipend for the care and support they provide to participants.

The goals of this service include supporting family caregivers through health education, telephonic counseling, and active coordination with care management; facilitating the participant's independence in a familiar home environment; offering the option of care by a trusted family member; and supporting the family caregiver as the needs of the waiver participant change. These goals are reached through a collaborative relationship between the participant, the caregiver, HCBS Waiver care manager, medical providers and the Structured Family Caregiving provider.

Agencies enrolled as Structured Family Caregiving providers must ensure access to health coaches as needed, at least one Georgia-licensed registered nurse for health consultation as needed, electronic documentation systems which receive and maintain notes submitted by the caregiver and reviewed by the health coach, availability and expertise in providing education and training as needed, and criminal records background screening for the identified primary caregiver. The provider agency must conduct monthly contacts at a minimum via home visit with the HCBS waiver case manager or by telephone. Additional home visits and ongoing communication with the caregiver is based on the current need of the participant and the caregiver.

The provider agency must capture daily notes completed by the family caregiver in a secure, HIPAA-compliant electronic format, and use the information collected to monitor participant health and caregiver support needs. The agency provider must make such notes available to waiver care managers on an ongoing basis and provide immediate access to State Medicaid staff for monitoring or review purposes.

Required Activities and/or criteria by the Enrolled Provider Agency:

- Agency providers must demonstrate 3 years of delivering or facilitating delivery of services to older adults and/or adults with disabilities as a Medicaid participating provider.
- Agency providers maintain a web-based electronic information management system easily accessed by family caregivers and available to HCBS waiver case managers for shared waiver participants for whom the case manager has the participant/guardian authorization to view.
- Providers must acknowledge that Structured Family Caregiving is provided in a private residence and affords all of the rights, dignity and qualities of living in a private residence including privacy, comfortable surroundings, and the opportunity to modify one's living area to suit one's individual preferences.
- Provider agencies must conduct monthly contacts at a minimum based on the participant's assessed needs and caregiver coaching needs.
- Providers deliver a minimum of 8 hours annual caregiver training that reflects the participant's assessed needs. Training may be delivered via home visit, through secure electronic communication, web-based training modules or in another manner that is flexible, accessible and meaningful for the caregiver.
- Structured Family Caregiving providers must work with participants, caregivers and HCBS waiver case managers to establish backup plans for emergencies and maintain the emergency plan in the electronic system.

Eligibility and documentation:

- Waiver participant is assessed to require five (5) hours or more of Extended Personal Support Services daily
- Identified need in the service plan
- Services outlined in the service plan
- Documentation to support service rendered include:
 - Electronic caregiver notes that record and track the participant's status, and updates or significant changes in their health status or behaviors, participation in community-based activities, and other notable or reportable events
 - Medicaid changes with a focus on adverse side effects, polypharmacy, or other potential health complications

-Daily review of caregiver notes by agency provider in order to:

- Understand and respond to changes in the participant's health status to communicate changes to the HCBS waiver case manager, the participant's doctors or healthcare providers
- Document and investigate and refer reportable events to the Waiver Care manager
- Document all contacts and visits conducted by the health coach or registered nurse
- Document all skills training and coaching conducted with the caregiver
- Document collaboration and communication with other service providers and healthcare professionals (as appropriate), waiver case managers and other caregivers or individuals important to the participant regarding changes in the participant's health status and reportable events.
- Maintain record of caregiver background checks prior to admission of the waiver participant to Structured Family Caregiving service.

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

Non-covered activities:

- Structured Family Caregiving service will not be reimbursed when provided by a parent of a minor child or unemancipated adults, participant, spouses of the participant, or the legal guardian of a participant or service as representative payee as determined by Social Security Administration.
- Personal care services provided to medically unstable or medically complex participants as a substitute for care provided by a registered nurse, licensed practical nurse, licensed nurse or other health professional.
- Separate payment will not be made for Personal Support or Extended Personal Support Service, Alternative Living Services or Home Delivered Meals.

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 Structured Family Caregiving provider agency

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Structured Family Caregiving

Provider Category:

Agency

Provider Type:

Approved Structured Family Caregiving provider agency

Provider Qualifications

License (*specify*):

N/A

Certificate (*specify*):

N/A

Other Standard (*specify*):

Providers must be able to provide evidence of accessible, confidential electronic documentation and record-keeping system that meets all privacy requirements of HIPAA.
Providers must provide evidence of three years of experience in working with older adult populations including caregivers.

Verification of Provider Qualifications

Entity Responsible for Verification:

State Medicaid Agency

Frequency of Verification:

Every three years with intermittent audits.

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):

Individuals who provide direct support and/or other services to waiver participants are required to undergo a State and Federal Medicaid exclusion criminal history check and/or background investigation. Home Health Agencies, Adult Day Health, Skilled Nursing Services, Alternative Living Services, and Private Home Care Providers are required by state law(Georgia Code 35-3-35) to conduct criminal record checks on any person responsible for providing care to the elderly and any person with disabilities. The provider agency is responsible for reviewing the criminal history record to determine whether the employee has been convicted of or is under indictment for a crime.

When a member or member's representative opts for the Consumer Directed Care, the Financial Management Services Provider is responsible for ensuring that a criminal record check is conducted before employment of the worker. The FMS must provide proof of background checks to the contract agency or DCH upon request and is responsible for notifying the waiver participant of any perspective employee who is not hireable due to the criminal background policy.

All providers are required to have internal policies and procedures and/or agency standards that address (a) how the agency screens for competency for the staff position and (b) how the agency prohibits individuals with prior conviction of abuse, neglect, and exploitation from performing direct member care. Any person that has been arrested, charged, or convicted of a felony will be excluded from managing or working with the aforementioned providers.

The Program Integrity Unit within the Department of Community Health Utilization, along with the DCH Division of Healthcare Facilities Regulations, conducts periodic reviews, (conducted on an annual basis or more frequently as needed), to monitor licensed providers to ensure that mandatory criminal background checks have been conducted. Non-licensed providers are monitored through Program Integrity reviews.

Additionally, upon receipt of an application for any waiver service, the Department of Community Health, Division of Medical Assistance and Provider Enrollment Unit, reviews and compares the provider names of staff members to the Office of Inspector General federal exclusion database.

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):

Note: Required information from this page (Appendix C-2-c) 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.*

The State does not make payment to legally responsible individuals but does reimburse relatives under the proposed service, Structured Family Caregiving.

Caregivers must be qualified to meet all Federal and State regulatory guidelines, and be able and willing to provide care and support to a participant based on assessed needs. Caregivers receive training as skill are identified through self-report, review of caregiver documentation, or case management identification of need. The enrolled agency reimburses caregivers through a per diem stipend for the care and support they provide to participants.

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.

Other policy.

Specify:

Non-covered activities:

- Structured Family Caregiving service will not be reimbursed when provided by a parent of a minor child, participant, spouses of the participant, or the legal guardian of a participant.
- Personal care services provided to medically unstable or medically complex participants as a substitute for care provided by a registered nurse, licensed practical nurse, licensed nurse or other health professional.
- Separate payment will not be made for Personal Support or Extended Personal Support Service, Alternative Living Services or Home Delivered Meals.

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

All potential willing providers are given the opportunity to enroll as a waiver service provider by meeting the following requirements of the application process:

- (1) The applicant demonstrates related experience managing and operating a business that provides the same, or similar, service(s) as those proposed.
- (2) The applicant has submitted proof of licensure and/or a business license to conduct business in the state of Georgia;
- (3) The applicant is in good standing with the Georgia Office of the Secretary of State;
- (4) The applicant is in current compliance with state licensing, funding, or regulatory entities associated with enrollment in any Medicaid service or non-Medicaid services administered by the Division of Aging Services.
- (5) The applicant completes the enrollment application.
- (6) The applicant successfully meets the requirements of a site visit, if applicable.

The potential provider is encouraged to access information, forms, and manuals by visiting the Department of Community Health website. Training is provided by the Department of Community Health to all provider applicants prior to enrollment.

After the potential provider has successfully completed the application process including training, the Medicaid Agency reviews all enrollment application components to assure compliance with enrollment requirements and determines final approval of all waiver applicant enrollments within 30 days.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. Methods for Discovery: Qualified Providers

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of provider applicants licensed as required prior to delivering waiver services. N= Number of provider applicants licensed as required prior to delivering waiver services; D= Total number of provider applicants requiring licensure.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

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

	Other Specify: <div style="border: 1px solid black; height: 30px; width: 150px; margin-top: 10px;"></div>	
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Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Agency Enrollment Unit verification of licensure compliance

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 = <div style="border: 1px solid black; height: 30px; width: 120px; margin-top: 10px;"></div>
Other Specify: <div style="border: 1px solid black; height: 30px; width: 150px; margin-top: 10px;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 30px; width: 120px; margin-top: 10px;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 30px; width: 120px; margin-top: 10px;"></div>
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 150px; margin-top: 10px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 20px; width: 200px; margin-top: 5px;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 20px; width: 200px; margin-top: 5px;"></div>

Performance Measure:

Number and percent of enrolled providers that continue to meet licensing requirements. N= Number of providers that continue to meet licensing requirements; D= Total number of providers that require licensure.

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

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100px; margin-top: 5px;"></div>
Other Specify:	Annually	Stratified Describe Group:

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of providers that continue to meet certification requirements - N
= # of providers that continue to meet certification requirements; D = total # of enrolled providers requiring certification

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

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; width: 100px; margin-top: 5px;">+/- 5%</div>
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

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

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

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

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

Performance Measure:

Number and percent of waiver non-licensed/certified providers that meet waiver policy requirements prior to the provision of waiver services - N = # of non-licensed/certified providers that meet waiver policy requirements prior to service delivery; D = total # of non-licensed/certified providers

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider enrollment application

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 =

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

Data Aggregation and Analysis:

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

c. *Sub-Assurance: The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.*

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

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

Performance Measure:

Number and percent of enrolled waiver providers that comply with training requirements - N = # of enrolled providers complying with training requirements; D = total # of enrolled providers

Data Source (Select one):

Training verification records

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 = <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

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

b. Methods for Remediation/Fixing Individual Problems

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

Individual issues related to the quality measures as outlined in Appendix C are gathered from multiple sources. These sources may include Medicaid Policy staff record investigation, Medicaid Policy staff site visits, Program Integrity Auditing, or information gathered by the Medical Management Review Organization contracted by DCH.

As individual issues arise they are investigated for appropriate action. Immediate health and safety issues are addressed to ensure that members are not served in a setting or by a provider that could cause harm. This may mean training or teaching providers. In serious cases immediate re-brokering of services or direct intervention by DCH staff.

All incidents are currently documented in the members file. Changes resulting from the investigation of a member may result in an update to their plan of care as well. This is also documented in the member file. If there is a corrective action, that corrective action is documented in writing for the provider, all follow up is documented, and eventual resolution is documented.

Additionally, DCH is in the process of enhancing their quality services through the development of a Waiver Quality Unit. This Waiver Quality Unit would follow up on all remediation and documentation actions. They would inform the Policy Section of needed changes to design of the program based on remediation responses. Additionally, they would trend quality information for systemic remediation strategies.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

No

Yes

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

Appendix C: Participant Services

C-3: Waiver Services Specifications

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

Appendix C: Participant Services

C-4: Additional Limits on Amount of Waiver Services

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

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

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

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

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

Furnish the information specified above.

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

Furnish the information specified above.

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

Furnish the information specified above.

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

Describe the limit and furnish the information specified above.

Appendix C: Participant Services

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.

Georgia has a pending statewide transition plan submitted to CMS that outlines all components of transition. Settings continuously monitored for compliance with the settings rule include:

- Group residential settings, known as Alternative Living Services are licensed as Personal Care Homes for either a family or group model
- Adult Day Health Centers

Personal Care Homes hold Georgia licenses with maximum occupancy of 24 members or fewer for the group model and a maximum occupancy of six members or fewer for the family model. While not exclusively designed for waiver members, the personal care home is the required license held by residential settings. The settings are located in residential neighborhoods in privately-owned homes and staff provide meals, oversight and supervision for which the member reimburses a room and board fee using personal income. These settings should not be adjacent to other institutional settings.

Though not widely used, Adult Day Health settings provide center-based activities and are open to all waiver members regardless of diagnosis if the member expresses interest. In all cases where services are delivered in congregate settings, case managers provide the first-line monitoring through regularly scheduled and "drop in" visits to the setting to directly observe staff and member interaction, review policy, and observe environmental compliance with the settings rule. Case managers use the incident reporting system to notify DCH of any violations. Staff attempt to work with the provider toward remediation. DCH oversees case manager follow up activities and provides licensure violations to the DCH Division of Health Care Facilities Regulation

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Service Plan

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

Registered nurse, licensed to practice in the state

Licensed practical or vocational nurse, acting within the scope of practice under state law

Licensed physician (M.D. or D.O)

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.

Service plan development occurs during the face-to-face assessment of waiver applicants. The consumer/family member or representative is contacted by telephone in advance to arrange the face-to-face assessment at a time convenient to all parties. Consumers are encouraged to involve family members, caregivers and/or legal representatives in the assessment visit.

During the admission process, the consumer/caregiver/family members or any other individual as identified by the member are educated about waiver eligibility criteria and services available within the waiver. Information is provided verbally and in written form through brochures and admission packets. Specific service types are explained as well as the consumer directed option for personal support service along with eligibility criteria for consumer directed care. Written information is available in English and Spanish.

Waiver participation is based on choice and the right of participants to assist in the development of their service plan/care plan and to designate others who will be involved in the process. Service plan development occurs during the initial visit between an RN and consumer, family, representative or any other individual as identified by the member. The RN is employed under contract by the case management provider. Consumers have the right and responsibility to participate in the development of the service plan and in the selection of service provider(s) as well as the freedom of choice in determining which representatives will be included in the process. The service plan is reviewed with the consumer/representative no less often than every three months or more frequently, as needed. Georgia uses a person-centered planning approach to honor the wishes of the member at initial assessment and all reassessments.

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):

Service planning is an ongoing process which begins with the identification of participant/applicant strengths, needs, and risks at initial assessment. Needs, goals and interventions addressed in the service plan reflect the information gathered at assessment and are driven by the member's choice of available service. Service plans are developed during the initial assessment by the nurse case manager and the applicant/ participant, family member, representative and any identified individual the member chooses. Service Plans are developed for a maximum of one year, and reviewed every three months or more frequently as needed. Each Service Plan is approved by the participant's physician, physician assistant or advance practice nurse. Formal, nationally recognized, assessment tools are used to gather participant functional status, impairments, needs, informal support, environmental factors and other information. Over half of waiver participants are served by entities that utilize electronic records and assessments are performed using laptop computers to facilitate entry into the electronic medical record.

The State assures consistent assessment data collection with the use of inter-RAI Minimum Data Set-Home Care (MDS-HC). The MDS-HC provides an easy to follow format which produces a reliable set of data elements highlighting the member's need. The state utilizes a person-centered approach to service plan development. Participants/representatives are advised of services offered by the waiver as well as advised of the option to self direct personal support services if they meet Consumer Direction eligibility requirements. Waiver service types and a description of each is explained in detail to the consumer and a written fact sheet or admission packet of information is provided to the consumer/representative during the initial assessment. Should the participant have needs not met within the scope of waiver services, the case manager suggests alternate resources or services through various other fund sources. Member choice drives all decisions.

Initial service orders contain the following information: type of service (s) to be offered, specific service provider(s) that will render services, service frequency and duration, and the participant's preferred day and time of day for service delivery. Plans of care are developed thoroughly to facilitate meaningful sharing with HCB service providers. Comments explain the rationale for ordered services, consumer preferences, specific information regarding services to be provided to the consumer, and alert service providers to specific instructions. Comments also include consumer health status and discharge plan preferences.

The initial service plan also provides specific goals and interventions to meet goals, and assigns responsibility for completing tasks contained within the intervention and driven by the member. Care plan activities and tasks may be assigned to the case manager, a family member or the participant himself if capable of performing such. The MDS-HC facilitates service plan develop through the identification of identified needs or risk areas. Using that tool, case managers develop interventions considering risk areas, personal preferences of the participant and family considerations or needs. Waiver services are combined in the service plan with non-Medicaid community based services to address consumer health, safety, and social needs in the most cost effective plan and to utilize alternate funding for services when possible and appropriate. Care plans, which include services available through other funding sources, are scrutinized to prevent duplication of services.

The service plan outlines all identified needs as well as the individual(s) responsible for coordinating those needs. In cases of client capacity to self-meet those needs, the waiver participant is named as the identified individual. This includes areas of community involvement such as day programs or other activities. Family and informal support, including activities related to community involvement, is included in care planning.

Service plans are reviewed and updated, as appropriate, no less often than every three months or more frequently as indicated, to assure that services continue to support the health, wellness and safety of participants. Should the waiver participant experience a significant change in condition, program policy requires modified reassessment and redevelopment of the plan of care.

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.

Health and Safety risks are assessed and identified during the initial assessment when the service plan is developed and at each service plan review. Clients risk for falls, weight loss, skin breakdown, depression, and/or any other chronic or acute health problems are triggered from the algorithm imbedded in the MDS-HC assessment. The responses to assessment questions serve as risk triggers. Case managers in cooperation with member choice of available services, develop care plans which clearly identify the client's health, safety, and behavioral risks based on observations of the clients functional capabilities and information obtained during the assessment process.

Service plans also include an individualized system of contingency plans which assure back up is available when usual care is unavailable and the lack of immediate care would pose a serious threat to health, safety, and welfare of the consumer. Back up plans are developed in conjunction with the wishes and availability of resources of the member. Emergencies such as inclement weather, natural disasters, staff shortages, and lack of transportation in remote areas, are assessed by the care coordinator in conjunction with the member and contingency plans are implemented in order to assure back up care is available based on member choice.

If risks are identified and interventions approved by the member, provider care plans are expected to provide specific approaches to mitigating risk; e.g., specific instructions direct care staff for precautions to use to avoid falls such as assure client uses walker at all times" or may require that case management staff make referrals for additional evaluation and intervention around particular risks such as "discuss physical therapy referral with primary care physician for strength training and balance evaluation."

Additionally, consumer service plans reflect a documented, individualized discharge plan which ensures continuity of care when transitions are necessary from one service environment to another.

To further lessen participant risk, the State assures continuous consumer and service provider access to care coordination through 24/7 emergency telephone contact numbers at both the case coordination and service delivery levels.

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.

The State assures that each consumer eligible for the waiver has free choice of all qualified waiver enrolled providers for each service included in the individualized Care Plan.

Participant choice in provider selection is facilitated through the following process: the case management agency provides the waiver participant and/or representative with a list of all enrolled providers; and from that list, the client is able to select the provider of choice. Participants and/or their representative are encouraged to seek information about providers through on-site visits, telephone contacts, and information from the worldwide web.

Each consumer has the option of selecting his or her provider of choice at admission or anytime during waiver eligibility. Care managers refer clients to providers after selection and do not offer opinions about services from providers. For clients who do not have a preference, the client may be referred to a list of available providers that can meet special needs of the participant; e.g. providers that offer weekend services, special language interpretation, or particular geographic access. Otherwise a full list of providers available to the area is provided for choice. Participant choice relative to service providers is documented on the client service plan.

As the first point of entry for service providers interested in enrollment in the waiver program, the Department of Community Health manages a database of available providers, those enrolled in the waiver program and those providing services under State Plan Medicaid.

Appendix D: Participant-Centered Planning and Service Delivery

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

- g. Process for Making Service Plan Subject to the Approval of the Medicaid Agency.** Describe the process by which the

service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR §441.301(b)(1)(i):

The Department of Community Health, the State Medicaid Agency, performs Program Integrity reviews of service delivery to assure the medical necessity for continued care, the effectiveness of the service plan, and the quality of services being rendered. Program Integrity teams perform onsite reviews of provider agencies to assure that service plans are implemented as developed. Additionally, case managers perform a review function quarterly through direct interview of waiver participants and family members as appropriate to assure that goals are being met. The audits for Program Integrity and case management companies both monitor service effectiveness of service plan delivery. Case management focuses more heavily on fidelity of services rendered while Program Integrity focuses on policy adherence.

Since case management services are documented through the use of electronic records, the State Medicaid Agency performs routine audits of service plans to assure development based on participant need and monitor service delivery. The Medicaid Agency has engaged its Medical Management Contractor to review level of care determinations and service plans by case management providers. The contractor will provide data quarterly to the Medicaid Agency for analysis.

Additionally, DCH is in the process of enhancing their quality services through the development of a Waiver Quality Unit. This Waiver Quality Unit would directly monitor all aspects of the service plan development process. The Waiver Quality Unit would accomplish this through audit sampling of all assessments completed. A statistically valid sample of all records are sampled as drawn from the Decision Support Solutions Section of DCH. The statistically valid sample is representative of both initially developed, annual reassessments, and interim modified service plans. The Quality Unit will take appropriate individual and systemic remediation based on the results of the auditing.

Appendix D: Participant-Centered Planning and Service Delivery

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

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

Every three months or more frequently when necessary

Every six months or more frequently when necessary

Every twelve months or more frequently when necessary

Other schedule

Specify the other schedule:

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

Medicaid agency

Operating agency

Case manager

Other

Specify:

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.

Service Plan Implementation and Monitoring is performed at several levels of waiver implementation by the State Medicaid Agency and care managers.

As applicable to specific waiver services, Department of Community Health staff monitor the activities of care management activities such as service plan implementation and the monitoring of service plans at regular intervals and in response to participant changes in condition, need or environment. Health and safety of waiver participants is monitored through both onsite review of records by the following waiver entities: the Medicaid Program Integrity Unit and the Medicaid Program Specialists. The Medicaid Program Integrity Unit monitors records using a random sample method. The primary focus of the Program Integrity Unit is on the delivery of services according to the plan of care and waiver service policies.

Care Management services actively perform individual service plan implementation and monitoring. Monitoring occurs, at minimum, every three months at the face-to-face care plan review and as indicated through telephone contact with participant, family member/representative, service provider(s), and/or medical provider(s). Contact occurs monthly to ensure satisfactory service delivery. During service plan evaluation and re-evaluation, care managers collect and document information about participant health status, hospitalizations, emergency room visits, and medication changes, changes in informal support system, delivery and satisfaction of waiver services. DCH and case management supervision includes supervisory review of all monthly case management activities including care plan implementation, monitoring and satisfactory service delivery.

Provider service delivery and effectiveness of provider back up plans are monitored through use of the Provider Complaint Log completed monthly by Care Management. Local care management staff address each complaint with the provider about whom the complaint was made. Electronic complaint logs are reviewed by DCH Program Staff and unresolved serious complaints are subsequently forwarded to the Medicaid Program Integrity Unit for further investigation and remediation of any unresolved problems. The Medicaid agency produces quarterly reports of significant service delivery problems for coordinated development of remediation plans.

An additional method of service plan monitoring is used by case management entities; the method involves the use of variance reports and service plan review generated by case managers following case conferences with service providers, review of written correspondence with providers, and/or direct reports from waiver participants. The variance report and service plan review is designed to document wide discrepancies of an unexplained or unacceptable nature in service plan and actual service delivery. Variance reports and service plan reviews are maintained by providers so that quality concerns can be maintained for remediation requests and follow up.

Additionally, DCH is in the process of enhancing their quality services through the development of a Waiver Quality Unit. This Waiver Quality Unit would directly monitor all aspects of the service plan development process. The Waiver Quality Unit would accomplish this through audit sampling of all assessments completed. The Quality Unit will take appropriate individual and systemic remediation based on the results of the auditing.

- b. Monitoring Safeguards.** *Select one:*

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

Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may provide other direct waiver services to the participant.

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

In certain circumstances case management entities that have responsibility for service plan monitoring may provide other direct waiver services to waiver participants. In those circumstances, the case management/provider affiliation is fully disclosed to the Medicaid Agency and focused monitoring of the arrangement and monitoring of services is provided by the Medicaid Agency to assure that waiver participants are provided choice.

The Medicaid Agency will continue to monitor plans of care to assure that waiver participants have full choice of providers through a fair selection process and that monitoring of services is performed in a conflict-free environment.

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Number and percent of service plans that address identified needs, health and safety risks, and personal goals N= Number of service plans that address identified needs, health and safety risks and personal goals; D= Total number of service plans reviewed

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review

Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div>95 percent confidence level and a +/- 5 percent margin of error</div>
Other Specify: <div></div>	Annually	Stratified Describe Group: <div></div>
	Continuously and Ongoing	Other Specify: <div></div>
	Other Specify: <div></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div></div>	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):

- 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 participants needs.**

Performance Measures

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

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

Performance Measure:

Number and percent of service plans reviewed according to policy or at a minimum annually. N=Number of service plans reviewed according to policy or at a minimum annually; D=Total number of service plans reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review

Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div>95 percent confidence level and a +/- 5 percent margin of error.</div>
Other Specify: <div></div>	Annually	Stratified Describe Group: <div></div>
	Continuously and Ongoing	Other Specify: <div></div>
	Other Specify: <div></div>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Number and percent of service plans revised in response to changes in client condition or need. N=Number of service plans revised in response to changes in client condition or need. D= Total number of service plans that required revision due to changes in client condition or need that were reviewed

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

If 'Other' is selected, specify:

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

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Data Aggregation and Analysis:

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

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

Performance Measures

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

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

Performance Measure:

Number and percent of waiver participants who received services in the type, scope, amount, duration, and frequency as specified in the service plan. N=Number of waiver participants who received services in the type, scope, amount, duration, and frequency as specified in the service plan; D= Total number of waiver participants reviewed

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 5px; width: fit-content;"> 95 percent confidence level and a +/- 5 percent margin of error </div>
Other Specify: <div style="border: 1px solid black; height: 30px; width: 150px;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 30px; width: 120px;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 30px; width: 120px;"></div>
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 150px;"></div>	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

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

Performance Measures

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

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

Performance Measure:

Number and percent of waiver participants whose records contain documentation that they were offered a choice of HCBS waiver providers and services. N=Number of waiver participants whose records contain documentation that they were offered a choice of HCBS waiver providers and services; D=Total number of waiver participants whose records were reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

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

		Sample Confidence Interval = <div>95 percent confidence level and a +/- 5 percent margin of error</div>
Other Specify: <div></div>	Annually	Stratified Describe Group: <div></div>
	Continuously and Ongoing	Other Specify: <div></div>
	Other Specify: <div></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div></div>	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):

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

b. Methods for Remediation/Fixing Individual Problems

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

The Medicaid Program Integrity Unit utilizes the following strategies for remediation of problems: identification of service plans that fail to meet requirements for identification of needs; monitoring of services or another aspect of service planning; notification of the deficiency to the case management agency which employs and provides for direct oversight of individual case managers; teaching and review of errors/deficiencies; and requirement of corrective action plans in the case of egregious or continued error patterns. The corrective action plan must describe how current problems will be resolved and provide a time frame for the correction. The plan is reviewed by the original reviewer with program staff to assure relevance, reliability and evaluate any additional training needed.

The Program Integrity Unit consistently and in a statistically valid monitoring process will review a statistically valid sample of Elderly and Disabled providers by individual provider type.

Future onsite reviews with specific case management entities focus on areas of past corrective action and training may be repeated if necessary.

The Medicaid Agency's Program Integrity Unit is directly and indirectly responsible for onsite audits of HCBS providers and follow up reviews based on corrective action while the Program Specialists design training specific to areas for aggregate remediation. Training is developed and carried out by the Department of Community Health. Individual remediation is managed by the Medicaid Agency's Program integrity Unit and monitored as well through the Medicaid Policy Unit. Egregious violations discovered by the Medicaid Agency for additional review and potential recoupment and follow up as noted above.

Ultimately, the Medicaid Agency can terminate a case management provider enrollment for continued serious errors such as failure to develop a proper care plan, delay in processing initial or annual reviews leading to a delay in service, inappropriate placements or lack of critical connections to medical, social, educational, or other resources. Termination will occur particularly if the errors impact health and safety of waiver participants.

Additionally, DCH is in the process of enhancing their quality services through the development of a Waiver Quality Unit. This Waiver Quality Unit would directly monitor all aspects of the service plan development process. The Waiver Quality Unit would accomplish this through audit sampling of all assessments completed. The Quality Unit will take appropriate individual and systemic remediation based on the results of the auditing.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

No

Yes

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

Appendix E: Participant Direction of Services

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

Yes. This waiver provides participant direction opportunities. Complete the remainder of the Appendix.

No. This waiver does not provide participant direction opportunities. Do not complete the remainder of the Appendix.

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

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

Yes. The state requests that this waiver be considered for Independence Plus designation.

No. Independence Plus designation is not requested.

Appendix E: Participant Direction of Services

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

Georgia's Elderly & Disabled Waiver Program provides a range of community-based services to enable older adults and disabled individuals who meet nursing facility level of care remain in homes and other community settings for as long as is safe and acceptable to the individual. Participant direction of personal support services allows waiver participants and/or their caregivers or representatives further enhance independence and self-control through hiring, training and supervising their care attendants. The Consumer Directed Personal Support Services (CD-PSS) model supports client options and choice.

a) Participants who have the cognitive ability and capability to understand and perform the tasks required to employ a worker (i.e. recruitment, hiring, scheduling, training, supervision, termination) are candidates for directing their PSS service plan and budget. At the time of admission to the waiver program, the care manager educates the participant and/or representative about the CD-PSS option and answers any questions. The care coordinator also reinforces the option at the time of the quarterly review or re-assessment.

b) The care manager provides clients with information about the option to self direct, describing and explaining the principles of self-direction, and the opportunities and responsibilities involved. Individuals choosing to direct their PSS worker(s) must be willing and able to meet the responsibilities of consumer direction which include acting as the employer of record and performing essential employer functions. As the employer, the waiver participant must make decisions regarding staff recruitment, hiring, training, supervising and terminating staff, and assigning and training employees in tasks identified in the plan of care. The participant may hire from his support network (qualified friends, neighbors) or others and determine how to allocate the CD-PSS budget.

c) In addition to the role of assessing, care planning, brokering services and evaluating the effectiveness of services, the care manager provides additional support to clients who choose the CD-PSS option such as: mentoring the participant by providing technical guidance, including education about the CD-PSS option; coaching on processes for hiring and supervising employees; problem solving; and guiding the waiver participant in developing a back-up plan for workers. Additionally, the care manager assists in working with the Financial Management Services (FMS) provider and monitoring the budget and expenditures with the participant and/or representative. The care manager continues to refer the client who enrolls in the CD-PSS option to non-Medicaid community resources and arranges all other waiver services identified on the plan of care with waiver enrolled providers chosen by the client.

d) All eligible participants who choose to enroll in CD-PSS option are required to use a Financial Management Services (FMS) provider. The participant is offered a choice in selecting a qualified provider organization within the criteria established by the Department of Community Health (DCH). FMS will be offered as a service within the waiver, delivered by entities enrolled as Medicaid providers with DCH. The provider organization may not be an enrolled provider of other waiver services. The FMS will train the participant or representative on financial and employment functions. Required tasks include: payroll, accounting, budget, and tax-related activities. The FMS provider will assure designated consumer-directed service funds are managed and paid as authorized. FMS will also provide technical support in the employment of workers (verification of citizenship status and completion of criminal background checks).

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

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

Participant: Employer Authority. As specified in *Appendix E-2, Item a*, the participant (or the participant's representative) has decision-making authority over workers who provide waiver services. The participant may function as the common law employer or the co-employer of workers. Supports and protections are available for

participants who exercise this authority.

Participant: Budget Authority. As specified in *Appendix E-2, Item b*, the participant (or the participant's representative) has decision-making authority over a budget for waiver services. Supports and protections are available for participants who have authority over a budget.

Both Authorities. The waiver provides for both participant direction opportunities as specified in *Appendix E-2*. Supports and protections are available for participants who exercise these authorities.

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

Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.

Participant direction opportunities are available to individuals who reside in other living arrangements where services (regardless of funding source) are furnished to fewer than four persons unrelated to the proprietor.

The participant direction opportunities are available to persons in the following other living arrangements

Specify these living arrangements:

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

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

Waiver is designed to support only individuals who want to direct their services.

The waiver is designed to afford every participant (or the participant's representative) the opportunity to elect to direct waiver services. Alternate service delivery methods are available for participants who decide not to direct their services.

The waiver is designed to offer participants (or their representatives) the opportunity to direct some or all of their services, subject to the following criteria specified by the state. Alternate service delivery methods are available for participants who decide not to direct their services or do not meet the criteria.

Specify the criteria

The CD-PSS option offers the waiver participant and/or his representative choice, control and responsibility over caregiver selection and service delivery. Waiver clients who participate in the option are required to meet the following eligibility criteria :

- Current Medicaid eligibility
- Personal Support Services identified on the Care Plan and approved by the physician
- History of agency-delivered personal support services for a minimum of six (6) months
- Able to maintain control over daily schedule and decisions
- Expresses willingness to accept responsibility for cost effective use of Personal Support Services (CD-PSS)
- Shows history of timely total cost share payments to service provider(s), if applicable
- Demonstrates the absence of problem or symptomatic behavior(s) that places client or others at risk
- Exhibits no cognitive or communication deficits that would prevent ability to self-direct care
- Signs a Memo of Understanding for Consumer-Directed Services Option for Personal Support Services
- Submits required documentation to Financial Management Services provider timely

Appendix E: Participant Direction of Services

e. Information Furnished to Participant. Specify: (a) the information about participant direction opportunities (e.g., the benefits of participant direction, participant responsibilities, and potential liabilities) that is provided to the participant (or the participant's representative) to inform decision-making concerning the election of participant direction; (b) the entity or entities responsible for furnishing this information; and, (c) how and when this information is provided on a timely basis.

At admission to the waiver program:

During assessment and development of the initial care plan assessment nurses or case managers describe the consumer-directed model as an option for receiving personal support in a way that promotes maximum control. Care Managers use written information to describe the model to clients who are eligible or potentially eligible to enroll in self-directed care. The information includes a client brochure explaining the waiver program, eligibility criteria and the services available including CD-PSS. The written material is provided as part of an admission packet. Because admission to the waiver program can be overwhelming as waiver participants learn to accept formal services and adjust expectations, consumer directed care is not available as a service-delivery option until the participant has received traditional agency-provided services for six months. During quarterly care review meetings, the case manager re-educates waiver participants about all service options including consumer-directed care.

If the client meets the eligibility criteria and expresses an interest in the option the case manager reviews the Consumer-Directed Option Manual which outlines responsibilities of the participant, functions of the financial management services provider, and realities of the model including the need for a back up plan should the employee be unable to provide services for a period of time. This allows the client to make an informed decision on which option, traditional or consumer-directed, best suits his/her needs and desired level of responsibility. The case manager may re-review the manual to reduce the risk of unsuccessful experience around hiring, training, supervising, firing worker(s), having a back-up care plan, paying worker(s), and staying within budget. Review of the CD-PSS option requirements in the manual with the client allows the care manager an opportunity to assess and determine the consumers ability to act in the employer role.

If the client/representative expresses the desire to enroll in the option the case manager is responsible for training, mentoring, and supporting the efforts to achieve success in the new role. Each client will receive an Employer Manual and technical assistance from the care manager and the Financial Management Services provider.

The terms of voluntary and involuntary termination from CD-PSS option are reviewed consumer at enrollment. Should the waiver participant or representative fail to manage the budget, fail to ensure that timesheets are submitted to the FSM timely, or intentionally violate waiver policy, the consumer-directed option may be withdrawn. If transition back to the traditional option PSS is needed, the Support Broker mentors, guides and assists the client to avoid jeopardizing PSS service delivery.

In the Personal Support Services (Self Directed) option, the case manager's role expands to include those activities of support broker. The case manager conducts assessment of consumer needs, reviews the consumers detailed Care Plan making appropriate community service referrals, and monitors all other services on the Care Plan. But as a support broker for self-directed care, the manager is responsible for providing information about consumer choice and options in service. The role encompasses educating and mentoring the waiver participant and/or representative in consumer-directed values, activities and responsibilities. The support broker trains the consumer in employer functions (interviewing, hiring, supervising, problem solving), and coaches the consumer in working with the FMS provider to ensure compliance with labor and tax regulations.

In addition to the case manager, FMS providers are responsible for providing each consumer/representative enrolled in Personal Support Services (Self Directed) with information, training and technical assistance as needed about fiscal and employer obligations, processes and required documentation. The FMS provider is contracted by the Department of Community Health to handle certain personnel, payroll, and tax duties.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

f. Participant Direction by a Representative. Specify the state's policy concerning the direction of waiver services by a representative (*select one*):

The state does not provide for the direction of waiver services by a representative.

The state provides for the direction of waiver services by representatives.

Specify the representatives who may direct waiver services: (*check each that applies*):

Waiver services may be directed by a legal representative of the participant.

Waiver services may be directed by a non-legal representative freely chosen by an adult participant.

Specify the policies that apply regarding the direction of waiver services by participant-appointed representatives, including safeguards to ensure that the representative functions in the best interest of the participant:

A representative may be selected by the client to assist in directing care if the participant is not able to do so independently. The representative may be a legal guardian, family member or friend. The representative is freely chosen by the client and must demonstrate a strong personal commitment to assuming the rights, risks and responsibilities of directing the participant's care, and is able to verbalize knowledge of his/her preferences. The representative must meet the same eligibility criteria required to enroll in the CD-PSS option as the client.

Representative of waiver participants who indicate the willing to serve in the employer role must demonstrate the following:

1. Understand the required qualifications of the worker
2. Develop worker job description
3. Develop selection criteria for worker
4. Recruit worker
5. Hire worker
6. Document DCH required qualifications of the worker
7. Train worker on specific individual needs
8. Determine the work schedule of the worker
9. Develop a back-up plan
10. Supervise worker
11. Problem solve with worker and provide discipline when needed
12. Create a positive and safe work environment
13. Maintain positive and effective boundaries
14. Sign time sheets and submit for payment
15. Stay within the consumers budget for the service.

The care manager will monitor care on a monthly basis at a minimum to ensure the representative functions in the clients best interest. In addition to other safeguards the client representative may not also serve as the paid provider of service (PSS worker). As a fiscal/employer agent, the FMS provider is an important safeguard for the consumer and the worker, ensuring that federal, state and local employment taxes and labor and workers compensation insurance rules related to household employment and payroll are implemented in an accurate and timely manner and that invoices for services included in the consumers care plan are paid appropriately and timely. FMS monthly reports will provide an audit mechanism for approved care plan service delivery and budget expenditures.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

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

Waiver Service	Employer Authority	Budget Authority
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services		

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

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

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

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

Governmental entities

Private entities

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

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

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

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

The waiver service entitled:

Financial Management Service Provider

FMS are provided as an administrative activity.

Provide the following information

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

Financial management services are enrolled providers

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

FMS entities receive a per member/per month fee.

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

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

Assist participant in verifying support worker citizenship status

Collect and process timesheets of support workers

Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance

Other

Specify:

Conducts criminal background check on all employees.

Supports furnished when the participant exercises budget authority:

Maintain a separate account for each participant's participant-directed budget

Track and report participant funds, disbursements and the balance of participant funds

Process and pay invoices for goods and services approved in the service plan

Provide participant with periodic reports of expenditures and the status of the participant-directed budget

Other services and supports

Specify:

Additional functions/activities:

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

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

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

Other

Specify:

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

Case managers perform monitoring of the FMS entities quarterly as they meet with waiver participants participating in CDC for the purpose of reviewing the budget, monitoring the supervision of the employee along with the quality of services provided, and timeliness of employee payment. FMS is also monitored by the Medicaid Agency's Program integrity Unit and DCH Waiver Program staff using a random sample selection review.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

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

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

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

Personal support is the only waiver service available for provision under the consumer-directed model. Thus, case managers assist in coordination of all other necessary waiver services and coordinate non-Medicaid services necessary to ensure health and safety of the waiver participant. Case management activities related to consumer-directed personal support take on a mentor or consultation function in order to facilitate maximum independence and control for the client.

Waiver Service Coverage.

Information and assistance in support of participant direction are provided through the following waiver service coverage(s) specified in Appendix C-1/C-3 (check each that applies):

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Financial Management Services (FMS)	
Speech Therapy in Adult Day Health Care	
Home Delivered Meals (HDM)	
Skilled Nurses Services (SNS)	
Structured Family Caregiving	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services	
Assistive Technology	
Adult Day Health	
Occupational Therapy in Adult Day Health Care	
Home Delivered Services (HDS)	
Case Management	
Physical Therapy in Adult Day Health Care	
Emergency Response Services (ERS)	
Alternative Living Services (ALS)	
Out-Of-Home Respite	

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

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

The care manager/support brokers role is to empower the consumer to function independently, mentoring, guiding, supporting and assisting them in new roles and responsibilities. The care manager/support broker will offer the consumer in-depth, hands on information, resource tools and training on consumer-direction employer rights and responsibilities. Topics will include conflict mediation, abuse, neglect and exploitation, use of community resources, training, coaching. The care manager/support broker will provide technical assistance on personnel qualifications for hiring competent workers. Based on the consumer-centered Care Plan, the budget for PSS is developed with the client, and the care manager/support broker provides individualized client financial management training on budget. The client must keep the service goals on the Care Plan in mind when determining hours and pay for PSS workers. State staff will provide technical assistance to care coordinators/support brokers on an as-needed basis. There is no additional compensation for care managers who assume the role of support brokers. Supports furnished under the waiver include the assurance that waiver standards and procedures of care are maintained and delivered supports and services meet performance requirements. Client risk assessment is ongoing by the care coordinator/support broker, who educates the client/representative on ways to prevent incidents that cause the client harm or interferes with independence or routine. Incidents or events that jeopardize the health and welfare of any waiver client are defined, identified and investigated by care coordinator/support broker. The client/representative must identify two individual emergency back-up plans to address any staffing discontinuity in service, as well as a plan in the case of natural disasters, power outages, and other potential interruptions in the routine care of the consumer. Workers must make a formal commitment and designate specific time availability to be part of the consumers back up plan.

At the local level, a 24/7 support broker access and agency on-call back up plan is mandated for emergency situations. Improvement of service provision and delivery is a goal for increasing quality outcomes for consumers. Additional supports that are provided to the client by care management include education and training on conflict mediation, abuse, neglect, and exploitation, hiring techniques, and use of community resources.

Participants are supported in employer related functions by the FMS; e.g., the FMS conducts criminal background checks, gathers and maintains payroll-related paperwork such as I-9s, W-4s and W-2s, and provides assistance with tracking and managing the allocated budget for services.

Waiver care manager/support brokers also conduct the quality assurance functions required by the state waiver and serve as the community liaison broker of services. Care Managers are monitored monthly by the State for compliance with their contracted care coordination responsibilities. Standardized monitoring instruments are utilized.

DCH will additionally monitor care coordination agencies on a random basis or as requested through its program Integrity Unit and DCH Medicaid Program staff. Program Integrity reviews appropriateness of the CD option and adequacy of the oversight by the care manager/service broker.

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

k. Independent Advocacy (*select one*).

No. Arrangements have not been made for independent advocacy.

Yes. Independent advocacy is available to participants who direct their services.

Describe the nature of this independent advocacy and how participants may access this advocacy:

Appendix E: Participant Direction of Services

- l. Voluntary Termination of Participant Direction.** Describe how the state accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the state assures continuity of services and participant health and welfare during the transition from participant direction:

The client/representative has the freedom of choice to voluntarily terminate the CD-PSS option at any time and return to the traditional provider services option.

Consumers may voluntarily choose to return to the traditional waiver Personal Support Services (PSS) if they determine that they lack the interest or ability to self-direct their PSS care. To assure that they return to the traditional waiver PSS without a break in services, communication with the care manager of the intent is critical. The care manager coaches the waiver participant and helps facilitate a transition that ensures continuous service is provided without interruption. Proper planning is assured by the continuous discussion of options with the participant/representative such that he is aware of all choices. The case manager assists in terminating the option, arranging services through an enrolled PSS provider agency selected by the client/representative, voiding enrollment in the FMS service, and reviewing goals and objectives of the service plan to update as necessary. The care manager notifies the FMS provider of the changes. Continuous communication with the waiver participant during transition will prevent any interruption in services from one delivery model to another.

Appendix E: Participant Direction of Services

E-1: Overview (12 of 13)

- m. Involuntary Termination of Participant Direction.** Specify the circumstances when the state will involuntarily terminate the use of participant direction and require the participant to receive provider-managed services instead, including how continuity of services and participant health and welfare is assured during the transition.

If the client/representative is unable to meet the requirements of the CD-PSS option or the goals of the care plan the care manager notifies the client and/or family to explain the reasons why the client will be returned to the Traditional Option for personal support services. The criteria for involuntary termination are:

- Incidence of problem or symptomatic behavior which has placed the client at risk

- Failure to maintain maximum control over daily schedule and decisions for two consecutive months

- Failure to stay within budget for PSS for two consecutive months

- Use of the state back up plan one or more times per month for two consecutive months

- Interventions and goals of personal support services as defined in the Comprehensive Care Plan are unmet for two consecutive quarters

Typically, the waiver participant or representative is counseled repeatedly and roles and responsibilities are reviewed to ensure understanding of participant roles.

When transition from the CD-PSS option is required, the client will return to traditional, agency-provided services without loss or interruption. The care manager maintains communication with the client to ensure a smooth transition from one service option to the other and educates the client/representative on how to give adequate notice to the worker(s). The case manager notifies the financial services management agency of the transition to traditional services.

Based on stated eligibility criteria, the care coordinator may deny or terminate client participation in CD-PSS option and then the client returns to traditional-model service delivery with no break in care. If enrollment criteria are met, the client may request, with evidence of changes in capacity or supports, to re-enroll in consumer direction after one year of removal from consumer-directed care.

Note: A denial from the Consumer-Directed Personal Support Services option does not terminate the client from the waiver program.

Appendix E: Participant Direction of Services

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

Table E-1-n

	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
Waiver Year	Number of Participants	Number of Participants
Year 1	<input type="text"/>	<input type="text" value="318"/>
Year 2	<input type="text"/>	<input type="text" value="346"/>
Year 3	<input type="text"/>	<input type="text" value="377"/>
Year 4	<input type="text"/>	<input type="text" value="410"/>
Year 5	<input type="text"/>	<input type="text" value="446"/>

Appendix E: Participant Direction of Services

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

a. Participant - Employer Authority Complete when the waiver offers the employer authority opportunity as indicated in Item E-1-b:

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

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

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

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

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

Recruit staff

Refer staff to agency for hiring (co-employer)

Select staff from worker registry

Hire staff common law employer

Verify staff qualifications

Obtain criminal history and/or background investigation of staff

Specify how the costs of such investigations are compensated:

The cost is included in the reimbursement per month per client made to the FMS provider by DCHs fiscal vendor.

Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-1/C-3.

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

Staff selected through the participant direction model undergo criminal background checks reimbursed and maintained in the record of the Fiscal Support Service Agency. Additional staff qualifications can be required by the representative or waiver participant.

Determine staff duties consistent with the service specifications in Appendix C-1/C-3.

Determine staff wages and benefits subject to state limits

Schedule staff

Orient and instruct staff in duties

Supervise staff

Evaluate staff performance

Verify time worked by staff and approve time sheets

Discharge staff (common law employer)

Discharge staff from providing services (co-employer)

Other

Specify:

Appendix E: Participant Direction of Services

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

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

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

Reallocate funds among services included in the budget

Determine the amount paid for services within the state's established limits

Substitute service providers

Schedule the provision of services

Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3

Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3

Identify service providers and refer for provider enrollment

Authorize payment for waiver goods and services

Review and approve provider invoices for services rendered

Other

Specify:

--

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

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

The individual budget for each client is determined using the same methodology used to develop all plans of care: through assessing functional impairments and need for service. Reliability of assessment is achieved through use of a standardized, validated assessment tool, the Minimum Data Set Home Care (MDS-HC) that identifies areas of risk and unmet needs. This information is used to create the Care Plan and calculate the appropriate frequency and duration of personal support service units.

Considering the total number of 15-minute units needed, the care coordinator uses the \$1 = 1 unit calculation method to determine a budget. This unit cost for consumer-directed personal support (only) allows maximum flexibility in development of an hourly rate by the waiver participant. Using this methodology, the consumer is able to make the best use of his/her budget allocation. The participant/representative manages only the CD-PSS portion of the budget. The monthly fee paid to the FMS provider will be included in the individual monthly budget allocated to the member.

Information on budget methodology is available in each applicable Elderly and Disabled Waiver manual. Any changes to methodology are included in normal public notice procedures and board approval process.

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

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

The waiver care coordinator/support broker establishes the individual budget with the client for CD-PSS during the assessment and development of the service plan. The client is an active participant in service planning and receives explanation of the budget as a cost neutral option in the planning process. Thus, the care plan cost of traditional, agency-delivered services and consumer directed services is the same; only the service delivery model is different.

The client-centered focus in the development of the Care Plan allows the client freedom to choose and be supported in ways that facilitate his preferences. The consumer/representative may decide variable employee pay rates for PSS workers, and she/he also needs to comply with Department of Labor regulations on minimum wage, overtime pay, etc.

Change in the amount of the total budget is determined in communication with the care manager and is often the result of a reassessment precipitated by a change in condition. Within the allocated budget and service units, the member may vary the schedule for services; e.g., frequency, time of day, or days of the week.

If the member disagrees with any element of the budget as determined through the plan of care process they are afforded an opportunity for fair hearing. The member is notified of fair hearing process through standard system generated letter from the MMIS system that includes information on free legal resources. Hearing rights are also discussed as part of the care coordination process between care coordination, member, and member's informal support circle. This discussion includes when hearing rights are afforded and how rights are afforded.

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

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

Modifications to the participant directed budget must be preceded by a change in the service plan.

The participant has the authority to modify the services included in the participant directed budget without prior approval.

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

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

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

The waiver has budget safeguards in place currently. Prior authorization is required for reimbursement of all waiver services including consumer-directed care personal support services. The same edits and audits that apply to traditional model service also apply to the CD-PSS. Changes to authorized budget amount for CD-PSS require client communication with the care manager. The client and the care manager receive monthly reports from the FMS provider and monitor client service expenditures. Under-utilization of the budget results in the care manager contacting the participant/representative to ensure ongoing health and safety needs are being met.

The care manager monitors the following during interim calls and quarterly face-to-face visits: assures individual service plans address the consumers health and safety needs; and identifies client/representative satisfaction or problems associated with CD-PSS.

Monthly FMS provider reports include summary reports of actual versus projected consumer budget expenditures and highlight budget overruns. A primary role of the case manager in the consumer-directed model involves financial oversight in conjunction with the waiver participant/representative.

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 participants determined ineligible for waiver services at admission or redetermination are first verbally informed by care managers of the Right to a Fair Hearing. The notice is provided verbally during the initial telephone screening or face to face assessment and the applicant/participant receives written notice of adverse action following verbal notification. Written notification is provided by certified U.S. mail to ensure to the extent possible receipt of the notice by the participant or representative. In addition to denial of waiver services, participants may also request a hearing as a result of any of the following adverse actions: Non-admission to the program; reduction in services; and termination of services.

The written notice of adverse action specifies the reason and policy citation for denial of services, termination of service, reduction in service, denial of choice of provider. Hearing information includes instructions for the applicant/participant or representative to follow for submitting a request for hearing to the Medicaid Agency. Waiver participants may request a hearing any time within 30 calendar days of the date noted on the adverse action notice. Members are afforded the right to continue services at the same level while the hearing is in appeals. This information is included with the standard system generated hearing language. Record of hearing rights are maintained electronically in either the eligibility system or MMIS depending on the nature of the appeal.

Appendix F: Participant-Rights

Appendix F-2: Additional Dispute Resolution Process

a. Availability of Additional Dispute Resolution Process. Indicate whether the state operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*

No. This Appendix does not apply

Yes. The state operates an additional dispute resolution process

b. Description of Additional Dispute Resolution Process. Describe the additional dispute resolution process, including: (a) the state agency that operates the process; (b) the nature of the process (i.e., procedures and timeframes), including the

types of disputes addressed through the process; and, (c) how the right to a Medicaid Fair Hearing is preserved when a participant elects to make use of the process: State laws, regulations, and policies referenced in the description are available to CMS upon request through the operating or Medicaid agency.

Appendix F: Participant-Rights

Appendix F-3: State Grievance/Complaint System

a. Operation of Grievance/Complaint System. *Select one:*

No. This Appendix does not apply

Yes. The state operates a grievance/complaint system that affords participants the opportunity to register grievances or complaints concerning the provision of services under this waiver

b. Operational Responsibility. Specify the state agency that is responsible for the operation of the grievance/complaint system:

c. Description of System. Describe the grievance/complaint system, including: (a) the types of grievances/complaints that participants may register; (b) the process and timelines for addressing grievances/complaints; and, (c) the mechanisms that are used to resolve grievances/complaints. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. Critical Event or Incident Reporting and Management Process. Indicate whether the state operates Critical Event or Incident Reporting and Management Process that enables the state to collect information on sentinel events occurring in the waiver program. *Select one:*

Yes. The state operates a Critical Event or Incident Reporting and Management Process (*complete Items b through e*)

No. This Appendix does not apply (*do not complete Items b through e*)

If the state does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the state uses to elicit information on the health and welfare of individuals served through the program.

b. State Critical Event or Incident Reporting Requirements. Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the state requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

In late 2020, DCH implemented a centralized incident reporting system to be used by all waiver service providers serving members in the Independent Care Waiver Program, and the Elderly and Disabled Waiver Program. The reporting provider will submit the Incident Report electronically via the webform located at <https://medicaid.georgia.gov/> under Provider links. A designated member of the Medicaid HCBS team helps to ensure providers are filing incident reports accurately and completely, and monitors the timely submission of the Follow-Up and Interventions Reports.

Providers required to submit an incident report include direct service providers and case management agencies. Direct service providers are required to submit an incident report if the incident occurred at the direct service providers' location or where the direct service provider is the first person to witness or discover the incident, regardless of location. Case management providers are responsible for reporting incidents if the case manager is the first person to witness or discover the incident or if the incident has not been previously reported by the direct service provider. Case management is required to lead the investigation and follow-up of the incident with involvement of other waiver providers, as applicable, to submit the Follow-Up and Interventions Report for DCH review and approval. A designated Medicaid HCBS team member reviews the incident report, follow-up information, and interventions identified by case management and other waiver providers to determine the appropriateness of interventions based on the severity of the incident.

Pursuant to O.C.G.A. § 31-8-82, incidents of alleged abuse, neglect, or exploitation in a licensed facility must be reported to Healthcare Facility Regulation Division (HFRD) and an appropriate law enforcement agency. Mandatory reporters include administrator, manager, physician, nurse, nurse's aide, orderly, or other employee in a hospital or facility; or employee of a public or private agency engaged in professional services to residents or responsible for inspection of long-term care facilities. Providers have the option to transfer the HCBS incident report directly to HFRD to reduce the administrative burden of reporting.

Pursuant to O.C.G.A. § 30-5-4(a) incidents of alleged abuse, neglect, or exploitation of adults with disabilities or older adults who do not live in a licensed facility must be reported to Adult Protective Services and an appropriate law enforcement agency. Mandatory reporters include employees of a public or private agency engaged in professional health-related services to elder persons or disabled adults, or Adult Day Care personnel.

Reportable incidents include:

- Aggressive Act
- Accidental Injury
- Alleged Abuse (Physical, Sexual, Verbal, Psychological)
- Alleged Criminal Act by a Member
- Alleged Neglect or Self Neglect
- Choking with intervention
- Death (Unexpected and Expected)
- Elopement greater than 30 minutes
- Environmental Threat
- Fall (Accidental, Purposeful, Medical)
- Media Alert
- Medication Error with and without Adverse Consequences
- Psychiatric Hospitalization
- Medical Hospitalization
- ER Visit
- Seclusion or Restraint
- Suicide Attempt resulting injury
- Violation of Individual Rights

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.

Educational brochures defining abuse, neglect and exploitation are included in waiver participant admission packets along with contact information for the State Adult protective Services Unit. At initial assessment case management entities are required to review with member's, families, and legal representatives what constitutes a critical incident. Case managers explain the reporting process including required timelines, who incidents are reported to, and the requirement for individual remediation. As part of this training all parties are reminded who is a mandated reported by State of Georgia Law. This training is repeated at annual redetermination.

- 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.

Case management is required:

- To investigate the incident with involvement of appropriate parties while taking immediate steps to protect the waiver participant's health, safety and welfare.
- Submit the Follow-Up and Interventions Report to the Department within seven (7) business days of submitting the incident report.
- Participate in regulatory agency investigations, when applicable and take appropriate a corrective action approved by the HCBS unit, if alleged violation is verified.
- Provide information of the outcome of the incident to the member and/or family as appropriate.

Case management is required to lead the investigation and follow-up of the incident with involvement of other waiver providers, as applicable, to submit the Follow-Up and Interventions Report for DCH review and approval. A designated Medicaid HCBS team member reviews the incident report, follow-up information, and interventions identified by case management and other waiver providers to determine the appropriateness of interventions based on the severity of the incident.

The Medicaid HCBS team can select one of the four Follow-Up Review Decisions:

- 1) Approved/In-Progress: Follow-up information is determined to be sufficient, but the interventions identified may warrant providing the waiver specialist additional information as they are completed. Requires submission of progress updates using the Progress Update Form at the frequency indicated by the waiver specialist; weekly, bi-weekly, and monthly.
- 2) Approved/Closed: Follow-up information is determined to be sufficient and demonstration of noted interventions have been completed or require no further follow-up to the waiver specialist.
- 3) Denied/Re-submit: Follow-up information is not complete, or interventions may not be appropriate or there are other noted errors requiring resubmission of the report. The resubmission will be due in three (3) business days by case management.
- 4) Denied/Close: Notable errors were found on the incident report and the follow-up report requiring termination of the existing report and the submission of an entirely new incident report.

Incidents occurring in a provider setting licensed by the DCH Healthcare Facilities Regulation Division (HFRD) can be reported directly to HFRD using the Medicaid incident report to remove administrative duplication. Upon receipt of Medicaid incident reports by HFRD, the licensing authority follows federal and state rules and regulations for investigation and follow-up of incidents reported in licensed facilities.

- 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.

Direct Service Providers and Case Management Agencies are required to report incidents to DCH. The responsibility for submission of an incident report falls on the first person to witness or discover the incident regardless of location or whether during the point of service. If the reporting provider is the direct service provider, the case manager will be notified of the incident by the confirmation email of the submission of the incident. The case manager is responsible for completing the follow-up and interventions report.

The reporting provider will submit the Incident Report electronically via the webform located at <https://medicaid.georgia.gov/> under Provider links within twenty-four (24) hours or one (1) business day of the incident or discovery of the incident. The reporting provider is required to notify all appropriate parties in accordance with state law.

Monthly reports are reviewed by the HCBS waiver unit, which are generated by the electronic incident management system providing analysis by a number of criteria such as waiver type, severity level, incident type or provider type to support development of individual or systemic remediation strategies as appropriate.

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:

Waiver case managers receive training on abuse, neglect and exploitation including the use of restraints or seclusion as a form of abuse and/or neglect. With multiple points of oversight, the following entities may detect the unauthorized use of restraints or seclusion:

- DCH's Division of Healthcare Facilities Regulation serves as the licensing agency for all licensed providers and as such performs unannounced site visits to personal care homes and providers who are required to maintain a private homecare license. Those site visits are conducted upon request for the purpose of investigation or at random not less frequently than every two years.
- DCH's Medicaid program Integrity unit also performs onsite reviews with little or no advance notification and thus, may also find restraints or seclusion present. The Program integrity Unit performs on site reviews in provider office location and then visits waiver participants in their homes for the purpose of direct interview.
- Case management entities for both traditional and enhanced case management services provide in home visits for the purpose of monitoring and service plan review and to check the general wellbeing of waiver participants and may, thus, detect such practices.

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

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

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

Appendix G: Participant Safeguards

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

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

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

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

Waiver case managers receive training on abuse, neglect and exploitation including the use of restrictive interventions as a form of abuse and/or neglect. With multiple points of oversight, the following entities may detect the unauthorized use of restrictive interventions

- DCH's Division of Healthcare Facilities Regulation serves as the licensing agency for all licensed providers and as such performs unannounced site visits to personal care homes and providers who are required to maintain a private homecare license. Those site visits are conducted upon request for the purpose of investigation or at random not less frequently than every two years.
- DCH's Medicaid program Integrity unit also performs onsite reviews with little or no advance notification and thus, may also find the presence of restrictive interventions. The Program integrity Unit performs on site reviews in provider office location and then visits waiver participants in their homes for the purpose of direct interview.
- Case management entities for both traditional and enhanced case management services provide in home visits for the purpose of monitoring and service plan review and to check the general wellbeing of waiver participants and may, thus, detect such practices.

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

- i. Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the state has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

- ii. State Oversight Responsibility.** Specify the state agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

Appendix G: Participant Safeguards

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

- c. Use of Seclusion.** *(Select one): (This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

The state does not permit or prohibits the use of seclusion

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

Waiver case managers receive training on abuse, neglect and exploitation including the use of seclusion as a form of abuse and/or neglect. With multiple points of oversight, the following entities may detect the unauthorized use of restrictive interventions

- DCH's Division of Healthcare Facilities Regulation serves as the licensing agency for all licensed providers and as such performs unannounced site visits to personal care homes and providers who are required to maintain a private homecare license. Those site visits are conducted upon request for the purpose of investigation or at random not less frequently than every two years.
- DCH's Medicaid program Integrity unit also performs onsite reviews with little or no advance notification and thus, may also find the presence of restrictive interventions. The Program integrity Unit performs on site reviews in provider office location and then visits waiver participants in their homes for the purpose of direct interview.
- Case management entities for both traditional and enhanced case management services provide in home visits for the purpose of monitoring and service plan review and to check the general wellbeing of waiver participants and may, thus, detect such practices.

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.

Georgia law limits the administration of medications to those licensed health care professionals who are authorized to do so under their scope of practice. However, Alternative Living Services (ALS) and Personal Support Services (PSS) providers may assist participants with the self-administration of medications. Licensed nursing staff of Adult Day Health Services (ADH) providers may administer medications when ordered by the participants physician. The Medicaid Agency, contracted agencies, Regulatory Agency responsible for licensure and Care Management staff monitor participant medication regimens in the ALS (personal care home) facilities. The case managers and the Medicaid Agency monitor participant medication regimens in Adult Day Health Services facilities since Day Health Care does not require a license in the State. Care managers have the responsibility of routine monitoring to ensure the participant medication regimen occurs according to physician's prescription. They review the Medication Administration Record (MAR) and verify the medication, date given, diagnosis and person giving medication.

Waiver provider agencies are required to assure medication management through licensed and registered nurses who review medication regimens and compliance with administration during each supervisory visit. Nurse supervisory visits must be performed onsite with the participant and take place no less frequently than every 60-90 days, or more frequently as indicated. The providers registered nurse monitors all prescription and over-the-counter medications taken by the client. Client records are monitored by the RN to ensure the following information is contained in the chart:

- Current list of prescription and over-the-counter medications taken, including the name of the medication, dosage, route, and frequency taken

- All drug side effects observed by or reported to the provider supervising RN by the client or other provider staff

- Documentation that the provider reports to the physician in a timely manner any problems identified with medications

Providers must have a written procedure for oversight of any medication assistance by staff functioning as a proxy caregiver providing health maintenance activities by order of a physician, advanced practice nurse, or physician assistant in accordance with Georgia Code (OCGA 43-26-12).

PSS aides may assist the client with physician prescribed medications that are to be self-administered. Assistance is limited to the following:

- Reminding the client to take the medication

- Reading to the member the correct dosage and frequency indicated on the container label

- Assisting the member with pouring or taking the medication

Any change to the clients condition is reported to the RN supervisor, including changes related to the medication.

At each face-to-face visit to ALS facilities, case managers review medication orders/administration and follow up with provider/owner or RN supervisor to address/correct any deficiencies. Use of a case management team with nurse representation and in the case of enhanced primary care case management, physician team oversight, ensures the health and safety of waiver participants when they have especially complex medication regimens or when they are prescribed behavior-modifying medications. In these instances, the team specifies any additional review criteria for case management visits.

Participants attending ADH are usually visited in the home setting for the care plan review. However, the care coordinator is required to make a face-to-face visit to the ADH once annually. During this visit, the care coordinator reviews clients medication orders/administration documentation. The care coordinator advises the ADH RN of any discrepancies and correction.

- 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.

During routine care review visits case managers review medication administration records. Any variation from the prescribed use, dosage or administration of medication is reported to the State Medicaid Agency as a critical incident. Further, in the case of licensed service providers, licensure rules require reporting medication errors to the regulatory/licensing agency as well. Finally, medication mistakes, misuse or potentially harmful practices may also be investigated by the Medicaid Program Integrity Unit for failure to comply with waiver policies.

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).

Georgia law limits the administration of medications to those licensed health care professionals who are authorized to do so under their scope of practice unless a trained Proxy Caregiver has been appointed by the waiver participant or his/her representative. Proxy Caregiver rules were publicly released in final form in 2011 following 2010 legislation by the Georgia General Assembly that amended Georgia's Nurse Practice Act. Any waiver participant choosing to use a Proxy Caregiver for purposes of medication administration must do so following the published rules. Use of a Proxy Caregiver for medication administration through the traditional agency model must occur in full collaboration with the licensed agency employer which provides training and maintains physician orders.

Proxy Caregiver provision of medication management through consumer-directed care involves training and skills check of the caregiver by a licensed physician, pharmacist or nurse to comply with State statutory guidelines for training. Following the tenants of consumer-directed services, the waiver participant or his/her representative is responsible for daily oversight of the delivered services. Case managers oversee the quality and care plan compliance of participants selecting consumer-direct care.

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:

Licensed providers are required to report medication errors to the State Regulatory Agency.

with the implementation of the centralized incident reporting system, all waiver providers are required to submit an incident report for medication errors with or without adverse consequences to the State Medicaid Agency.

- (b) Specify the types of medication errors that providers are required to *record*:

All medication errors are required to be documented in the clinical record.

(c) Specify the types of medication errors that providers must *report* to the state:

All medication errors that occur under the supervision of a licensed provider are required to be reported to the State Regulatory Agency, a division of the Department of Community Health.

With the implementation of the centralized incident reporting system, all waiver providers are required to submit an incident report for medication errors with or without adverse consequences to the State Medicaid Agency.

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.

The Medicaid Program Integrity Unit is responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants. All provider selection for onsite review is determined on a random sample basis with all waiver providers reviewed by Program Integrity within three years. All plans of care are reviewed for medication administration orders. Medicaid program integrity staff review physician orders and administration records.

During onsite licensure audits, the regulatory authority, Department of Community Health's Healthcare Facilities Regulation Division, provides onsite reviews of medication administration, reviewing against physician orders.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. Methods for Discovery: Health and Welfare

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

and % of alleged abuse, neglect, exploitation and unexpected death incidents that were referred to appropriate investigative entities for follow-up; N= Number of alleged abuse, neglect, exploitation and unexpected death incidents that were referred to appropriate investigative entities for follow-up; D= Total number of alleged abuse, neglect, exploitation and unexpected death incident

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 30px; width: 200px; margin-top: 5px;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 200px; margin-top: 5px;"></div>

Performance Measure:

Number and percent of waiver participants who receive information at admission and annually in recognizing and reporting abuse, neglect and exploitation.

N=Number of waiver participants who received information at admission and annually in recognizing and reporting abuse, neglect and exploitation; D=Total number of waiver participant records reviewed

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

If 'Other' is selected, specify:

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

		95 percent confidence level and a +/- 5 percent margin of error
Other Specify: <input type="text"/>	Annually	Stratified Describe Group: <input type="text"/>
	Continuously and Ongoing	Other Specify: <input type="text"/>
	Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

- b. *Sub-assurance: The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.*

Performance Measures

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

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

Performance Measure:

Number and percent of level 1 critical incidents where root cause was identified; N:
Number of level 1 critical incidents where root cause was identified; D: total number
of level 1 critical incidents reported

Data Source (Select one):

Critical events and incident reports

If 'Other' is selected, specify:

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

	Specify: <div></div>	
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Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of waiver participant unexpected deaths that were reported, reviewed, and responded to by the Mortality Review Committee; N: Number of waiver participant unexpected deaths that were reported, reviewed, and responded to by the Mortality Review Committee; D: Total number of waiver participant unexpected deaths

Data Source (Select one):**Critical events and incident reports**

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review

Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <input type="text"/>
Other Specify: <input type="text"/>	Annually	Stratified Describe Group: <input type="text"/>
	Continuously and Ongoing	Other Specify: <input type="text"/>
	Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

- c. *Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.*

Performance Measures

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

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

Performance Measure:

Number and percent of reported incidents of seclusion or restraint reviewed and investigated according to policy and the approved waiver; N: Number of reported incidents of seclusion or restraint reviewed and investigated according to policy and the approved waiver; D= Total number of reported incidents of seclusion or restraint.

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 = <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

	Other Specify: <div style="border: 1px solid black; height: 30px; width: 150px; margin-top: 10px;"></div>	
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Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 30px; width: 240px; margin-top: 10px;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 240px; margin-top: 10px;"></div>

Performance Measure:

and % of enrolled direct support waiver providers who participated in training on member rights including use of alternative measures to restrictive interventions; N= # of enrolled direct support waiver providers who participated in training on member rights including use of alternative measures to restrictive interventions; D= Total # of enrolled direct support waiver providers reviewed

Data Source (Select one):**Training verification records**

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100%

		Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 5px; width: fit-content;"> 95% confidence level +/- 5% margin of error </div>
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	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):
	<div style="border: 1px solid black; height: 30px; width: 100%;"></div>

- d. Sub-assurance: The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.**

Performance Measures

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

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

Performance Measure:

Number and percent of waiver participants receiving enhanced case management for whom semi-annual contact with the primary care physician office is documented. N: Number of waiver participants receiving enhanced case management for whom semi-annual contact with the primary care physician office is documented. **D:** Number of waiver participants who receive enhanced case management reviewed.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 5px; width: fit-content;"> 95 percent confidence level and a +/- 5 percent margin of error </div>

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

Data Aggregation and Analysis:

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

Performance Measure:

Where a provider has a responsibility for administering medications to waiver participants, number and percent of medication administration records reviewed and found to be compliant with physician orders. N= Number of MARs that reflect administration compliance with physician orders; D= Number of waiver participants in the sample whose service plan includes medication administration.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> 95 percent confidence level and a +/- 5 percent margin of error </div>
Other Specify: <div style="border: 1px solid black; height: 30px; margin-top: 5px;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 30px; margin-top: 5px;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 30px; margin-top: 5px;"></div>
	Other Specify: <div style="border: 1px solid black; height: 30px; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
State Medicaid Agency	Weekly
Operating Agency	Monthly

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

Performance Measure:

Number and percent of waiver participants receiving follow-up post hospitalization per waiver policy - N = # of waiver participants with post hospitalization follow-up per waiver policy; D = Total number of waiver participants hospitalized that were reviewed

Data Source (Select one):**Critical events and incident reports**

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> 95 percent confidence level and a +/- 5 percent margin of error </div>
Other Specify:	Annually	Stratified Describe Group:

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of waiver participants whose records reflect recommended annual preventative healthcare; N =Number of waiver participants whose records reflect recommended annual preventative healthcare; D=Number of waiver participant records reviewed

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

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

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

b. Methods for Remediation/Fixing Individual Problems

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

Use of standardized Critical Incident documentation with clear standards regarding timeliness of documentation allows the Program Specialists with the Medicaid Agency to review incidents very quickly following the reporting. Review of the incident results in direct support from State or regional staff in coordinating follow up activities and in some cases to review the outcome and plan for future events in other cases. Documentation of the event, all follow up activities and outcomes are maintained by the case management agency and State medicaid Agency. Individual waiver participant problem remediation focuses on the report, review of the report and action plan, timeliness and appropriateness of the action plan that formed the response to the critical incident and outcome of the incident. Immediate interventions can include referral to Adult Protective Services, local law enforcement contacts if the crisis may involve a crime or need immediate intervention, or removal of the waiver participant from the situation.

Additionally, DCH is in the process of enhancing their quality services through the development of a Waiver Quality Unit. This Waiver Quality Unit would directly monitor all aspects of health and welfare. The Waiver Quality Unit will member settings to ensure appropriate remediation was completed. A comprehensive information system is being developed to house and track all quality concerns across waivers. This information system will help to ensure individual incidents are properly address and provide systemic remediation information.

ii. Remediation Data Aggregation

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

Responsible Party (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
State Medicaid Agency	Weekly
Operating Agency	Monthly

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
Sub-State Entity	Quarterly
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>	Annually
	Continuously and Ongoing
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

c. Timelines

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

DCH is working with CMS to implement a corrective action plan across all waivers. Many of the specific activities are detailed in Section H of this waiver. The individual corrective action plan activities include development of an administrative quality management plan, establishment of a DCH Quality Unit, implementation of a member specific Quality Management Plan, establishment of an IT plan for collecting quality data, establishment of a Quality Review Committee, strengthening case management structure, revised existing audit procedures to reduce duplication of efforts, reconstitution of the Mortality Review Board, and greater DCH oversight of individuals transitioning from institutions. The timeframe for these activities vary from immediate to 360 days.

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 Georgia Department of Community Health (DCH) administers four Medicaid Waiver Programs serving the following populations: elderly and physically disabled Medicaid members, members with intellectual and developmental disabilities, and members with severe physical disabilities and/or traumatic brain injury. Significant efforts are underway to frame and direct a holistic Quality Improvement Strategy designed to span all four waivers. The waiver programs managed under the Quality Improvement Plan include the following:

GA.4170: Independent Care Waiver Program
 GA.0112: Elderly & Disabled Waiver Program
 GA.0175: New Options Waiver Program
 GA.0323: Comprehensive Supports Waiver Program

Various system design elements apply across the programs to optimize the ability to cross-compare populations, track provider activities across programs when waiver service providers enroll in multiple programs and analyze home and community service data in areas applicable to all populations. An example of the latter is found in various elements of the HCBS Settings Rule applicable to all home and community-based programs.

Some of the system design components described below exist in current process and others represent improvements and remediation activities. DCH has devoted significant resources toward developing methods to track data, analyze outcomes and design a collaborative interagency and intra-agency plan. What follows is system design related to each of the Waiver Assurances.

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.

Several years ago, DCH began developing a standardized process to determine level of care initially and ongoing across all waiver programs through contract with its Medical Management Agency (MMA). Though the Agency reviews varying assessment documents applicable to the specific population served, the process and review staff are consistent, though necessarily somewhat specialized, across the programs. The MMA tracks common reasons for level of care denial and can make referrals across programs when the denial reason involves a mismatch of application and waiver population served. MMA reports inform DCH and its operating partner of denial reasons by category. DCH Waiver Specialists review samples of level of care determinations through regular programmatic staff meetings. By virtue of one common database and one review entity, trends and patterns can be used to determine the need for remediation in a specific program or population. Additionally, standardized notices of admission denial across the waiver programs assure that applicants receive clear guidance regarding the right to appeal adverse decisions.

Participant Services:

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

In January 2016 DCH achieved full implementation of Credentialing and Verification for initial provider enrollment and periodic verification of all providers. In addition to DCH review of provider applications and adherence to the CVO process, waiver or regulatory staff conduct visits for all services delivered at residential or center-based sites. In 2018, legislative directives led DCH and the NOW and COMP Waiver Operating Agency, DBHDD, to review all enrollment and auditing practices. Consistent with the intent of administrative simplification, both agencies reviewed enrollment processes for duplication of efforts in enrollment and provider audits and are redesigning the process to allow information sharing versus layering site visits and reviews. Thus, any site visit conducted by any of the participating enrollment entities will be reviewed and evaluated to determine enrollment status.

Audits and reviews of enrolled waiver service providers are being migrated to a central data repository housed at DCH. Migration of audits began with those performed by the DCH Regulatory Division during licensing and complaint/incident investigation. Medicaid audits performed through the DCH Office of the Inspector General are being prepared for migration. Several meetings with DBHDD have determined that comparable reviews performed by that Department are typically performed in response to provider certification and incident

investigation. DCH has organized the repository for extraction of data using various sources of identifying information including name of the provider, address, Medicaid ID number, and NPI to facilitate identification of a provider over multiple audit types, some of which include Medicaid identifiers and others, not.

A recently developed Moratorium Review Board will meet quarterly to determine additional remediation or response to serious or persistent concerns with the quality of service delivery. The Moratorium Review Board is comprised of members of various Divisions of DCH including: Medicaid Policy; the Inspector General's office; the Office of Performance, Quality and Outcomes; the licensing division, Healthcare Facilities Regulation; and Legal Services for the purpose of overseeing provider adverse action. DBHDD's Division of Compliance and Performance Management and DCH's Medical Management Agency will serve on the Moratorium Review Board as Operating Agency and DCH contractor respectively. The Board will have authority to suspend new admissions to the provider agency or recommend termination of a waiver service provider to DCH for consideration.

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).

In all the waiver programs, case managers hold the primary role for development of the participant-centered service plan. Case managers develop and implement the service plan with the waiver member and/or informal supporter, providing assistance with service descriptions and available providers. Case managers then monitor service delivery, assisting with problem-solving and negotiation between providers and family members. DCH monitors development of the service plan or plan of care through onsite and desk audits, review by the MMA contractor.

Through audit trends and identified challenges, DCH found that case managers held conflicting views about their role in monitoring the service plan. In 2019, DCH implemented a multi-waiver remediation strategy and developed of a case management training curriculum with mandatory compliance by all waiver case managers and supervisors. The baseline training is competency-based, requires case manager testing and validation.

Participant Safeguards:

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

Several system improvement strategies noted in preceding sections were designed to provide protection for waiver members.

- The use of a standardized process and single level of care evaluation agency facilitates applicant direction to the most appropriate waiver program rather than denial with no referral to other resources.

- Development of a central audit repository to facilitate tracking of provider concerns over time and across auditing entities in order to determine potential risk to waiver members served by the provider.

- Multi-agency and intra-agency Moratorium Review Board designed to compare and analyze information about problem providers and act collaboratively to protect waiver members served by them.

- Data repository for corrective action plans to facilitate evaluation of problem corrections over time.

- Case management training to clearly define case managers' role in monitoring health and safety of waiver members, coordinate waiver and non-waiver resources including medical services, and monitor the quality of waiver services.

Implementation of the centralized Incident Reporting System for EDWP and ICWP to improve reporting, investigation, and monitoring of an expanded number of incident types by the SMA

Future Improvements:

Central Data Repository:

Provider corrective action plans and follow up evaluation will be held included in the data repository to further track provider remediation needs allowing cross-reference by service type and common errors as well as facilitating tracking of individual providers' history of multiple corrective actions.

ii. System Improvement Activities

Responsible Party <i>(check each that applies):</i>	Frequency of Monitoring and Analysis <i>(check each that applies):</i>
State Medicaid Agency	Weekly
Operating Agency	Monthly
Sub-State Entity	Quarterly
Quality Improvement Committee	Annually
Other Specify: <div></div>	Other Specify: <div></div>

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.

Quality Improvement through Organizational Restructuring:

DCH has undergone organizational change designed to move many of the current functions of the Waiver Program Specialists to an enterprise level, allowing Program Specialists to refocus efforts toward quality monitoring and improvement. An example of such restructuring is moving the role of provider enrollment to an enterprise office that manages Credentialing and Verification activities at the time of initial enrollment and re-credentialing cycles. Waiver Program Specialists have developed tips and electronic checklists for the Office of Provider Enrollment specific to waiver services to facilitate specialized reviews but will no longer be directly responsible for that function. Redirecting that one activity will free time that can be used for reviewing a sample of provider audits, collaborating with the Office of Performance, Quality and Outcomes in data analysis, editing Program policy in response to findings, and developing system remediation strategies.

Because this is a new role for Waiver Program Specialists and because the collection and organization of available data is extensive, the DCH Medicaid Waiver section is in process of hiring for a new position to serve as liaison between the Waiver Specialists and the Office of Performance, Quality and Outcomes (PQO). The position requires experience in the area of continuous quality improvement and is expected to help bridge any gaps between current knowledge and future role expectations.

The DCH Office of Performance, Quality and Outcomes:

The PQO Unit oversees the effective implementation of the HCBS QI strategy and is responsible for monitoring the quality of HCBS' programs, following a continuous quality improvement process.

The objectives of PQO Unit are:

- To conduct quality monitoring of HBCS programs and services to ensure compliance with Federal and State regulations and performance measures
- To use data analysis to measure effectiveness of program design and operations
- To recommend strategies for Continuous Quality Improvement
- To establish a quality improvement focus within HCBS based on the Six Waiver Assurances:
- Level of Care
- Qualified Providers
- Service Plan
- Health and Welfare
- Financial Accountability
- Administrative Authority
- To support HCBS administration and management in development and implementation of policies and protocols to achieve desired outcomes
- To oversee the development of system wide quality and performance improvement training for staff, providers and participants
- To annually assess the effectiveness of the Quality Improvement Program and report the results to the Quality Review Committee
- To work effectively with other internal and external stakeholders, other State Agencies, contracted consultants, the Quality Review Committee, and other individuals or entities regarding Quality Management activities.

PQO Unit's work consists of quantifying, analyzing, trending, and making initial recommendations regarding priorities and specific quality improvements to HCBS systems, and then monitoring system improvement changes for effectiveness. These efforts are undertaken in collaboration with HCBS staff.

The DCH Medicaid Policy Unit has developed a liaison position which will function within the Waiver Program team. The role of the Compliance Specialist: Quality Improvement staff member is to coordinate data collection from various sources, manage collection of the performance measures deliverables in collaboration with DBHDD, collect and review reports generated by the Medical Management Agency, and work internally with the DCH Office of Q, P & O to recognize and analyze trends and patterns in the data. The staff member will design baseline indicators for tracking improvement and work with Waiver Program Specialists in any policy or procedural changes or other remediation strategies.

- ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

DCH hosts and coordinates activities of a Quality Review Committee with participation from intra-agency staff such as the HCBS waiver specialists, Medicaid Quality Unit, Program Integrity Unit, and Healthcare Facilities Regulation Division. The committee is accountable for overseeing, monitoring, and providing feedback to administration regarding the setting of quality and safety priorities and the improvement undertakings to achieve established goals. The committee meets quarterly to review reports, provide recommendations and feedback on the effectiveness of performance improvement activity.

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).

In its role as the administering and operating agency of the EDWP, DCH uses a multi-division approach to monitoring. In response to the waiver corrective action plan, the Audit Data Repository was developed to store audit data to be accessed by entities responsible for monitoring quality of services to waiver members. This effort seeks to create a more centralized monitoring and management of waiver services to support improved continuous quality improvement efforts.

The Program Integrity Unit (PI) is a Division of the Department of Community Health and is responsible for conducting the survey of provider services and billing to ensure the integrity of Medicaid reimbursement. PI reviews a sample of waiver service provider records randomly selected for monitoring unless targeted inquiries or requests for specific provider audits are warranted. The contracted auditing agency validates the data, and samples sufficient claims to ensure findings are statistically valid with a 95 percent confidence level and a +/- 5 percent margin of error, unless otherwise requested by the SMA. The SMA oversees the audits and reviews all findings with particular emphasis on those findings relating to health and safety risks to the members. Provider sampling for audit selection is performed in two-to-three-year spans and EDWP provider reviews are conducted every two years. Reviews focus on one year of historical records and reviews can be conducted on site or via desk review. On site reviews allow observation of service, environment and staff interaction and are often performed as a result of desk review findings and requested by the SMA due to identification of deficiencies impacting member health and safety. PI also responds to all reports of suspected fraud, waste or abuse as well as inappropriate billing whether intentional or unintentional. Reviews of providers or a specific service do not differ. Criteria for record review includes provider compliance with sub-assurance areas such as level of care and corresponding service plans, appropriateness for continued services as indicated through annual reassessment, and documentation of service delivery, the absence of which may result in recovery of reimbursement. Providers receive a findings letter and detailed report that indicates the specific findings for each claim, procedure code, and date of service.

DCH/OIG evaluates hotline complaints and referrals received from other agencies and contracted vendors. DCH/OIG also convenes quarterly Service Utilization Review (SUR) meetings to review Fee for Service data to identify egregious billing trends. Providers selected for review are based on the top billers (overall), top billers per member per month, spikes in the billing that results in high reimbursement for a specific period, and whether those providers have been audited within the past two years. Providers are aggregated at the enterprise level to ensure that the contracted auditing agency can review all services rendered by that provider to a Medicaid member, as some services are provided by a single entity billing under different Medicaid IDs. Claims selected for review are conducted for a one to two year period. For non-targeted audits of providers, random sampling is done at the member level, and all claims are reviewed for a given member. The reviews include sampling sufficient claims to ensure that findings are statistically valid with a 95% confidence level and a +/- 5% margin of error unless otherwise requested. Reviews of providers or a specific service do not differ. Results of audits are sent to providers by certified letter. Upon request by the SMA, the contracted auditing entity will target specific services rendered by providers to members or will sample specific members receiving services.

The findings letter includes a detailed report that indicates the specific findings for each claim, procedure code, and date of service. OIG meetings also occur regularly with Georgia's Medicaid Fraud Control Unit, a function of the State Attorney General's Office.

Corrective Action Plans are required by provider agencies and reviewed by Program Integrity Unit for substance in response to the finding(s). The plans are reviewed by the same audit staff who conducted the initial review. If the plan meets the requirements for satisfactory correction, the provider is notified of the plan's acceptance; if not, the provider is offered another opportunity to correct any additional deficiencies and the plan is re-reviewed. In some cases a Medicaid member may be subject to adverse action as a result of the review. The proposed action and all documentation that substantiates the finding is reviewed by DCH Program Integrity investigators. Though rare such findings of intentional fraud are referred to the Medicaid Fraud Control Unit.

Independent audits using analysis of claim reimbursement against program requirements are conducted for all Medicaid programs by the Georgia Department of Audits, which is an independent state agency. Medicaid programs are selected randomly each year. The Georgia Department of Audits conducts the single audit for the state in compliance with the Single Audit Act. Medicaid programs selected for audit include review of claims randomly selected using a statistically valid methodology based on value and dollar amounts including correct payment based on system edits and audits which are derived from policy and the approved waiver. The review span is based on a full state fiscal year. The sampling approach varies based on the criteria for the programmatic audit using either a statistically valid sample with a 95% confidence interval and a 10% desired precision range or non-statistical sampling methods. Audits vary depending upon service requirements and specifications for acceptable claims reimbursement. Enrolled providers are not required to conduct independent audits unless it is required by the specific state licensure regulations.

DCH successfully implemented Georgia's EVV solution on April 1st, 2021 and was certified by CMS in February 2022.

This satisfied the requirements for Community Living Services according to the Cures Act. DCH has completed Operational Readiness Review and is actively collecting Key Performance Measures related to Personal Support Services in the EDWP. As DCH moves forward with implementation, the Department will be instituting mandatory claims edit to ensure all Personal Support Services are completely validated by EVV as of January 1, 2021. At this time, only Personal Support Services are subject to EVV. Additionally, DCH is currently working to implement HHCS by the mandated deadline of January 1st, 2023. EVV activities are monitored through standard reporting metrics of missed, late and adjusted visits. In addition, EVV monitors variances in scheduling and service location. DCH Medical Assistance Plans staff, Office of the Inspector General and Medicaid Fraud Control Unit all have access to the EVV system for monitoring.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

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

a. Methods for Discovery: Financial Accountability Assurance:

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

i. Sub-Assurances:

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

(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)

Performance Measures

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

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

Performance Measure:

Number and percent of claims coded and paid in accordance with the reimbursement methodology specified in the approved waiver. N =Number of claims coded and paid in accordance with the reimbursement methodology specified in the approved waiver. D =Total number of claims.

Data Source (Select one):

Financial records (including expenditures)

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach(check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review

<i>Sub-State Entity</i>	<i>Quarterly</i>	Representative Sample Confidence Interval = <input type="text"/>
Other Specify: <input type="text"/>	<i>Annually</i>	Stratified Describe Group: <input type="text"/>
	<i>Continuously and Ongoing</i>	Other Specify: <input type="text"/>
	Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of claims coded and paid where sufficient documentation exists to substantiate services were rendered. N =Number of claims coded and paid where sufficient documentation exists to substantiate services were rendered. D =Number of claims reviewed

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
State Medicaid Agency	Weekly	100% Review
Operating Agency	Monthly	Less than 100% Review
Sub-State Entity	Quarterly	Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 5px; width: fit-content;"> 95 percent confidence level and a +/- 5 percent margin of error </div>
Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Annually	Stratified Describe Group: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
	Continuously and Ongoing	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
	Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<i>State Medicaid Agency</i>	<i>Weekly</i>
<i>Operating Agency</i>	<i>Monthly</i>
<i>Sub-State Entity</i>	<i>Quarterly</i>
<i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>	<i>Annually</i>
	<i>Continuously and Ongoing</i>
	<i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

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

Performance Measures

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

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

Performance Measure:

Number and percent of waiver service rates that remain consistent with the approved methodology throughout the five-year waiver cycle. N=Number of waiver service rates that remain consistent with the approved methodology throughout the five-year waiver cycle; D=Total number of waiver service rates.

Data Source (Select one):

Meeting minutes

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):
<i>State Medicaid Agency</i>	<i>Weekly</i>	<i>100% Review</i>

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

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

The Medicaid Agency's MMIS fiscal agent provides a significant presence and ability to work with providers in correcting claims either by telephone or by field representative visits. Generally, the fiscal agent representatives work with individual provider agencies to identify and correct claims though the Program Specialists also become involved with more complex reimbursement issues and those for which reimbursement was denied for failure to secure prior authorization. In that circumstance, the Program Specialist works with the contracted agencies to identify an action plan to correct the problem.

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: <div></div>	Annually
	Continuously and Ongoing
	Other Specify: <div></div>

c. Timelines

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

No

Yes

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

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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 waiver and its predecessor, the Alternative Health Services Project (an 1115 Demonstration Project), has been in existence for more than thirty (30) years. The rate setting methodology was established when the demonstration project was initiated using prospective data. The methodology has evolved to consider current U.S. Bureau of Labor Wage Data by Area and Occupation statistics and other national market resources such as the Kaiser Family Foundation. In the 2021 Georgia General Assembly, the EDWP allocation was increased to reflect a 10% across the board rate increase for all services. The rate increase has been implemented at this time temporarily through an Appendix K application approved by CMS retroactive to begin 7/1/2021. The increase was authorized by the Georgia General Assembly based on the opportunity provided through the American Rescue Plan Act, however the intent of the legislators is to continue the award beyond the public health emergency to reset rates permanently. The increase has been applied as legislated to this renewal application to reflect the intent to reset rates permanently in this waiver. Under the ARPA spending plan comments, the SMA will be conducting a full cost-based rate study as required by CMS as a condition of the temporary funding award. This is necessary since the rates for this waiver program have not been reviewed or rebased in several years. The rate study has been initiated and is expected to be completed in early 2023.

The Department is responsible for determining all waiver payment rates. Changes in methodology or rates are stated in a Department issued public notice before a proposed change occurs. For further information about the Public Comment opportunities for this waiver renewal, please refer to Section Main 6-I.

The DCH Office of Finance/Reimbursement Section conducts fiscal and data analyses to monitor Georgia rates against national market rates and project adjustments. Additional funding for provider rate increases must be allocated from the Georgia General Assembly through legislative appropriation and go through public comment processing

The Department reimburses providers at the lesser of either the established maximum fee for service rate or the actual amount billed by the provider for services. Except as otherwise noted in the plan, state developed maximum rates are the same for both governmental and private providers of all services.

The waiver services and their rate determination methods are as follows:

Adult Day Health Level I and Level II: Reimbursed based on a per diem rate of half-day or full day at two levels of care based on the assessed needs of the member. The full-day rate requires a minimum of 5 hours of service and the half-day rate requires a minimum of 3 hours of service.

Alternate Living Services: Reimbursed on a per diem rate with a maximum allowable of 31 units per month or 365 units annually. Fifty percent of the payment is required to be made to the individual model home and the remainder may be retained by the ALS provider agency for management of RN supervision, administration, training of direct support staff, and any required medical management.

Assistive Technology: The rate selected for reimbursement of this service allows maximum flexibility in purchase of specialized products and services. Specifically, non-traditional but medically necessary accessibility items and services outside the scope of medical equipment or supplies available through State Plan durable medical equipment. There is an annual and a lifetime maximum.

Emergency Response System: Similar to Georgia's other waiver programs and following rates in Georgia's Independent Care Waiver Program, the EDWP has a set installation rate and a monitoring rate subdivided by weekly or monthly.

Financial Management Services: Reimbursed on a monthly basis. The rate was established following Georgia's other 1915c waiver programs. Adopted initially around 2005 with the implementation of consumer-directed service model through review of similar states' rates.

Home Delivered Meals: Reimbursed at a fixed rate per meal with a weekly maximum of fourteen (14) meals per week or a maximum of sixty-two (62) meals per month. Plus six emergency meals twice per year.

Home Delivered Services (extended home health): The first 50 visits are covered under the Medicaid State Plan Home Health program within a calendar year. Visits in excess of 50 visits are reimbursed under the waiver. All services are reimbursed at the providers standard Medicaid reimbursement rate.

Personal Support Services and Personal Support Services Extended: Reimbursed per 15-min unit per day. PSS cannot

exceed 10 units (2.5 hours) per visit. PSS extended requires a minimum of 12-units (3 hours) per visit.

Personal Support Services Consumer Directed: Reimbursed at a rate of \$1 per unit as this rate allows maximum flexibility in budgeting within the individual cost neutrality limits of the waiver.

Out of Home Respite: This service is available at a per diem and hourly rate. The per diem rate has a minimum 12-hour requirement. The hourly rate reimbursed per 15-minute unit has a maximum of 32 units (8 hours) per day with a minimum of 3 units per day.

Traditional Case Management and Enhanced Case Management rates: Reimbursed on a monthly basis and is payable only after the delivery of documented case management services.

Therapy and skilled nursing services are currently set at the Fee for Service private billing rate.

Structured Family Caregiving: Added in 2019, reimbursed at a daily rate per 15-minute unit was calculated at the equivalent cost of five hours of Extended Personal Support Service.

All waiver program fee schedules are found in the specific policy manual relevant to that waiver. The site below provides a link to all policy manuals. Fees for the EDWP waiver are found in Appendix S of the EDWP – CCSP and SOURCE General Services.

<https://www.mmis.georgia.gov/portal/PubAccess.Provider%20Information/Provider%20Manuals/tabId/18/Default.aspx>

- 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:

For non-participant directed services, the Medicaid agency makes payments directly to providers through its fiscal agent for approved waiver services. In this case, the flow of billings is: claim submitted by approved waiver provider; Medicaid Agency's fiscal agent applies billing rules in the form of edits and audits; reimburses clean claims within seven days of electronic submission. For participant-directed services, the Medicaid agency, through its fiscal agent, makes payments directly to Financial Support Services providers who serve as the fiscal management services provider. The flow of billings for participant directed services is: participant submits provider timesheets/payment requests; Financial Support Services Provider reimburses employee; Medicaid Agency's Fiscal Agent issues claim reimbursement to provider.

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:*

The Department of Community Health processes Medicaid claims received by the Department by the end of the sixth month following the month of service. To facilitate timely and correct payment to providers, the Department has implemented a Medicaid Management Information System (MMIS) that utilizes automated processing and auditing of claims.

Waiver services require Prior Authorization (PA) by care managers. Contracted Agencies use an electronic information system to generate electronic prior authorization for waiver services transmitted electronically to the Medicaid Agency's claims system. A PA must be entered with specific services, amounts and providers authorized as indicated on the Service Plan.

Edits built into the system adjudicate claims based on prior authorization to include approved services, frequency, and rates consistent with MMIS reference files. Providers may not submit claims prior to services being rendered. With respect to MMIS assurance of the integrity of payments, hundreds of edits provide reimbursement rules within the claims system. Examples of edits include maximum service limits by service type which prevent overpayment. Additionally, waiver claims require prior authorization for reimbursement of services. Claims submitted by waiver providers may also suspend for a variety of reasons, requiring review by a Medicaid Agency staff person familiar with the billing rules.

The MMIS system also contains a series of audits. These audits indicate post billing where there is a conflict with assigned rules. If the system paid for a period of retroactive ineligibility, institutionalization or above service limits for example. These audits are reported and addressed as they occur.

Retrospective reviews are performed annually on at least 12% of the EDWP providers by the states Program Integrity Unit. The audits are done to ensure that adequate documentation is available to confirm participant eligibility prior to service delivery, inclusion of the billed services in the approved service plan, and proof that services were rendered on the date(s) billed.

The department systematically recoups for erroneously paid claims either as a result of audit processing or any verified auditing. Audit reports from MMIS and any auditing entity are sent to policy staff for review. Once validated, a provider receivable is established, and funds are recovered through either future claims recoupment or direct reimbursement manually by the provider. The direct reimbursement can be in the form of a payment plan approved by the SMA. The recovery and return of FFP is facilitated through the CMS 64 report as a credit or deduction to the federal expenditure. In the event that a provider has no future billing legal action is taken with the provider to recoup the erroneously paid claims and Federal Participation is removed from claiming.

- 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:

Any waiver service may be provided by a qualified public provider such as local and regional units of government and public hospitals.

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:

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:

- (a) Enrolled Medicaid providers of the waiver service, Financial Support Services, are designated as an OHCDS. These providers function as an OHCDS by virtue of the fact that their employees furnish a waiver service.
- (b) Waiver providers may directly enroll with Medicaid to provide a service. They are not required to have an agreement/contract with an OHCDS.
- (c) The OHCDS designation is only for waiver providers of financial management services for participants who opt for participant direction. Participants may freely choose waiver providers who directly enroll with Medicaid or waiver providers with an agreement/contract with the OHCDS. The care coordinator explains Freedom of Choice among qualified waiver providers to each participant. The participants Care Coordinator assists him or she in choosing providers of services specified in the Service Plan. This assistance may include telephonic or site visits with participants and their families, helping them access approved qualified provider lists, answering their questions about providers, and informing them of web-based information on providers. (d) Providers submit required documentation to the OHCDS on their qualifications to provide a waiver service. The Care Coordinator reviews with the participant each providers qualifications against the applicable provider qualifications under the waiver. The Care Coordinator and participant sign a document indicating the results of their review and submit to the OHCDS.
- (e) Submission by providers of the documentation of their qualifications to provide a waiver service and review of these qualifications against applicable provider qualifications in the waiver occurs prior to any agreement/contract between the OHCDS and the provider.
- (f) Prior authorization of waiver services is required before the delivery of any services. This prior authorization is based on the waiver services in the participants Individual Service Plan. The DCH Policies and Procedures for the waiver specify the maintenance of necessary documentation for waiver services furnished by providers with an agreement/contract with the OHCDS.

iii. Contracts with MCOs, PIHPs or PAHPs.

The state does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.

The state contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency.

Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d)

how payments are made to the health plans.

This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.

This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.

If the state uses more than one of the above contract authorities for the delivery of waiver services, please select this option.

In the textbox below, indicate the contract authorities. In addition, if the state contracts with MCOs, PIHPs, or PAHPs under the provisions of §1915(a)(1) of the Act to furnish waiver services: Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency. Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (1 of 3)

- a. State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the state source or sources of the non-federal share of computable waiver costs. Select at least one:

Appropriation of State Tax Revenues to the State Medicaid agency

Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the state entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

Other State Level Source(s) of Funds.

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

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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:

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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:

Alternate Living Services and Out-of-Home overnight respite are the only waiver services that are rendered in residential settings other than the personal home of the individual. The setting of the Medicaid rates for these services excludes the costs related to room and board which are paid by the waiver participant. Medicaid reimbursement rates only include the cost of direct services. No reimbursement of room and board costs occurs for Respite or Assisted Living Services

Appendix I: Financial Accountability**I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver**

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. Select one:

No. The state does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.

Yes. Per 42 CFR §441.310(a)(2)(ii), the state will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The state describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)**

a. Co-Payment Requirements. Specify whether the state imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. Select one:

No. The state does not impose a co-payment or similar charge upon participants for waiver services.

Yes. The state imposes a co-payment or similar charge upon participants for one or more waiver services.

i. Co-Pay Arrangement.

Specify the types of co-pay arrangements that are imposed on waiver participants (check each that applies):

Charges Associated with the Provision of Waiver Services (if any are checked, complete Items I-7-a-ii through I-7-a-iv):

Nominal deductible

Coinsurance

Co-Payment

Other charge

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

a. Co-Payment Requirements.

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

a. Co-Payment Requirements.

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

b. Other State Requirement for Cost Sharing. Specify whether the state imposes a premium, enrollment fee or similar cost sharing on waiver participants. Select one:

No. The state does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.

Yes. The state imposes a premium, enrollment fee or similar cost-sharing arrangement.

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the

collection of cost-sharing and reporting the amount collected on the CMS 64:

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Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: Nursing Facility

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	19666.93	11524.27	31191.20	40664.10	6192.87	46856.97	15665.77
2	19674.60	12173.98	31848.58	40991.25	6287.11	47278.36	15429.78
3	19682.97	12860.32	32543.29	41321.03	6382.80	47703.83	15160.54
4	19691.03	13585.36	33276.39	41653.46	6479.93	48133.39	14857.00
5	19700.88	14351.28	34052.16	41988.57	6578.55	48567.12	14514.96

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:	
		Nursing Facility	
Year 1	45373		45373
Year 2	49398		49398
Year 3	53779		53779
Year 4	58550		58550
Year 5	63743		63743

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 9)

b. Average Length of Stay. Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

The estimated average length of stay is based on analysis of 372 Report data from 2015 through 2020 and claims data from the Georgia Medicaid Management Information System (GAMMIS) for 2021.

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:

Estimates for enrollment and expenditures utilized 372 Reports from 2015 through 2020 and claims data from the Georgia Medicaid Management Information System (MMIS) for 2020 and 2021.

In recalculating Factor D, the SMA applied an 8.87% growth rate to enrollment and a 12.43% growth to expenditures. The projected expenditures for all waiver services were divided by the projected unduplicated membership to derive the annual per capita waiver expenditures for Waiver Year 1 through Waiver Year 5.

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:

Estimates for enrollment and expenditures utilized 372 Reports from 2015 through 2020 and claims data from the Georgia Medicaid Management Information System (MMIS) for 2020 and 2021.

In recalculating Factor D', the SMA applied an 8.87% growth rate to enrollment and a 5.64% growth to expenditures for all non-waiver Medicaid services reimbursed on behalf of waiver members. The projected expenditures for all non-waiver services were divided by the projected unduplicated membership to derive the annual per capita non-waiver expenditures for Waiver Year 1 through Waiver Year 5.

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:

Estimates of for enrollment and expenditures utilized 372 Reports from 2015 through 2020 and claims data from the Georgia Medicaid Management Information System for 2020 and 2021.

In recalculating G, the SMA applied an average growth rate of 3.15% for enrollment and an average growth rate of 1% for annual nursing home expenditures. The projected expenditures for all nursing home services were divided by the projected unduplicated membership to derive the annual per capita nursing home expenditures for Waiver Year 1 through Waiver Year 5.

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:

Estimates of for enrollment and expenditures utilized 372 Reports from 2015 through 2020 and claims data from the Georgia Medicaid Management Information System for 2020 and 2021.

In recalculating G', the SMA applied an average growth rate of 3.15% for enrollment and an average growth rate of 2% for annual expenditures for all other Medicaid services associated with receiving nursing home care. The projected expenditures for all other Medicaid services associated with receiving nursing home care were divided by the projected unduplicated membership to derive the annual per capita expenditures for Waiver Year 1 through Waiver Year 5.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select "manage components" to add these

components.

Waiver Services	
Adult Day Health	
Case Management	
Out-Of-Home Respite	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services	
Occupational Therapy in Adult Day Health Care	
Physical Therapy in Adult Day Health Care	
Speech Therapy in Adult Day Health Care	
Alternative Living Services (ALS)	
Assistive Technology	
Emergency Response Services (ERS)	
Financial Management Services (FMS)	
Home Delivered Meals (HDM)	
Home Delivered Services (HDS)	
Skilled Nurses Services (SNS)	
Structured Family Caregiving	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:						18460443.90
Adult Day Health Care Level II Full Day	> 5 hours per	1125	141.00	51.66	8194567.50	
Adult Day Health Care Level I Full Day	> 5 hours per	1500	164.00	40.48	9958080.00	
Adult Day Health Care Level II Partial Day	3-5 hours half day	72	71.00	42.09	215164.08	
Adult Day Health Care Level I Partial Day	3-5 hours per diem	44	68.00	30.96	92632.32	
Case Management Total:						89570596.20
Traditional Case Management					54073638.60	
GRAND TOTAL:						892347682.86
Total Estimated Unduplicated Participants:						45373
Factor D (Divide total by number of participants):						19666.93
Average Length of Stay on the Waiver:						295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	monthly	26534	10.00	203.79		
Enhanced Case Management	monthly	16824	10.00	210.99	35496957.60	
Out-Of-Home Respite Total:						7795.36
Out- of -Home Respite Care 15 min	15 min	8	125.00	2.32	2320.00	
Out- of -Home- Respite Care per diem	per diem	11	16.00	31.11	5475.36	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services Total:						587643495.99
Consumer Directed Personal Support Services	1	318	26769.00	1.06	9023294.52	
Personal Support Services	15 min	18791	3931.00	4.15	306549797.15	
Personal Support Services Extended	15 min	15892	3796.00	4.51	272070404.32	
Occupational Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Occupational Therapy	1 visit	1	2.00	48.57	97.14	
Physical Therapy in Adult Day Health Care Total:						48.57
Adult Day Health Care Physical Therapy	1 visit	1	1.00	48.57	48.57	
Speech Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Speech Therapy	1 visit	1	2.00	48.57	97.14	
Alternative Living Services (ALS) Total:						31061680.32
Alternative Living Services (ALS)	per diem	2413	318.00	40.48	31061680.32	
Assistive Technology Total:						8913366.00
GRAND TOTAL:						892347682.86
Total Estimated Unduplicated Participants:						45373
Factor D (Divide total by number of participants):						19666.93
Average Length of Stay on the Waiver:						295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assistive Technology	annual max	7194	1239.00	1.00	8913366.00	
Emergency Response Services (ERS) Total:						3719988.36
Emergency Response Monitoring - Monthly	monthly	10233	9.00	39.13	3603755.61	
Emergency Response Monitoring - Weekly	weekly	59	3.00	6.75	1194.75	
Emergency Response Installation	1 system	825	2.00	69.72	115038.00	
Financial Management Services (FMS) Total:						318597.84
Financial Management Services	pm/pm	318	11.00	91.08	318597.84	
Home Delivered Meals (HDM) Total:						27330167.04
Home Delivered Meals (HDM)	per meal	10824	344.00	7.34	27330167.04	
Home Delivered Services (HDS) Total:						84663642.00
Home Delivered Services - Home Health Nurse	per hour	5	4.00	60.18	1203.60	
Home Delivered Services - Home Health Aide	per hour	8928	1256.00	7.55	84662438.40	
Skilled Nurses Services (SNS) Total:						1670250.40
Skilled Nursing Services -RN	visit	464	10.00	53.21	246894.40	
Skilled Nursing Services - LPN	visit	902	30.00	52.60	1423356.00	
Structured Family Caregiving Total:						38987416.60
Structured Family Caregiving	per diem	2263	191.00	90.20	38987416.60	
GRAND TOTAL:					892347682.86	
Total Estimated Unduplicated Participants:					45373	
Factor D (Divide total by number of participants):					19666.93	
Average Length of Stay on the Waiver:						295

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:						20101434.14
Adult Day Health Care Level II Full Day	> 5 hours per diem	1225	141.00	51.66	8922973.50	
Adult Day Health Care Level I Full Day	> 5 hours per diem	1633	164.00	40.48	10841029.76	
Adult Day Health Care Level II Partial Day	3-5 hours half day	78	72.00	42.09	236377.44	
Adult Day Health Care Level I Partial Day	3-5 hours half day	48	68.00	30.96	101053.44	
Case Management Total:						97515783.60
Traditional Case Management	monthly	28888	10.00	203.79	58870855.20	
Enhanced Case Management	monthly	18316	10.00	210.99	38644928.40	
Out-Of-Home Respite Total:						8499.60
Out- of -Home Respite Care 15 min	15 min	9	121.00	2.32	2526.48	
Out- of -Home- Respite Care per diem	per diem	12	16.00	31.11	5973.12	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services Total:						639777866.22
Consumer Directed Personal Support Services	1	346	26785.00	1.06	9823666.60	
Personal Support Services	15 min	20458	3931.00	4.15	333744651.70	
Personal Support Services Extended	15 min	17302	3796.00	4.51	296209547.92	
Occupational Therapy in Adult Day Health Care						97.14
GRAND TOTAL:						971885933.70
Total Estimated Unduplicated Participants:						49398
Factor D (Divide total by number of participants):						19674.60
Average Length of Stay on the Waiver:						295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Total:						
Adult Day Health Care Occupational Therapy	1 visit	1	2.00	48.57	97.14	
Physical Therapy in Adult Day Health Care Total:						48.57
Adult Day Health Care Physical Therapy	1 visit	1	1.00	48.57	48.57	
Speech Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Speech Therapy	1 visit	1	2.00	48.57	97.14	
Alternative Living Services (ALS) Total:						33816425.28
Alternative Living Services (ALS)	per diem	2627	318.00	40.48	33816425.28	
Assistive Technology Total:						10071952.00
Assistive Technology	annual max	7832	1286.00	1.00	10071952.00	
Emergency Response Services (ERS) Total:						4050039.09
Emergency Response Monitoring - Monthly	Monthly	11141	9.00	39.13	3923525.97	
Emergency Response Monitoring - Weekly	1 system	64	3.00	6.75	1296.00	
Emergency Response Installation	1 system	898	2.00	69.72	125217.12	
Financial Management Services (FMS) Total:						346650.48
Financial Management Services	pm/pm	346	11.00	91.08	346650.48	
Home Delivered Meals (HDM) Total:						29754128.64
Home Delivered Meals (HDM)	per meal	11784	344.00	7.34	29754128.64	
Home Delivered Services (HDS) Total:						92174320.50
Home Delivered					1504.50	
GRAND TOTAL:						971885933.70
Total Estimated Unduplicated Participants:						49398
Factor D (Divide total by number of participants):						19674.60
Average Length of Stay on the Waiver:						295

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Services - Home Health Nurse	per hour	5	5.00	60.18		
Home Delivered Services - Home Health Aide	per hour	9720	1256.00	7.55	92172816.00	
Skilled Nurses Services (SNS) Total:						1818306.50
Skilled Nursing Services -RN	visit	505	10.00	53.21	268710.50	
Skilled Nursing Services - LPN	visit	982	30.00	52.60	1549596.00	
Structured Family Caregiving Total:						42450284.80
Structured Family Caregiving	per diem	2464	191.00	90.20	42450284.80	
GRAND TOTAL: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Average Length of Stay on the Waiver:						971885933.70 49398 19674.60 295

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:						21887645.56
Adult Day Health Care Level II Full Day	> 5 hours per diem	1334	141.00	51.66	9716936.04	
Adult Day Health Care Level I Full Day	> 5 hours per diem	1778	164.00	40.48	11803644.16	
Adult Day Health Care Level II Partial Day	3-5 hours half day	85	72.00	42.09	257590.80	
Adult Day Health Care Level I Partial Day	3-5 hours half day	52	68.00	30.96	109474.56	
Case Management Total:						106165470.90
GRAND TOTAL: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Average Length of Stay on the Waiver:						1058530501.47 53779 19682.97 295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Traditional Case Management	monthly	31450	10.00	203.79	64091955.00	
Enhanced Case Management	monthly	19941	10.00	210.99	42073515.90	
Out-Of-Home Respite Total:						9231.68
Out- of -Home Respite Care 15 min	15 min	10	119.00	2.32	2760.80	
Out- of -Home- Respite Care per diem	per diem	13	16.00	31.11	6470.88	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services Total:						696537643.03
Consumer Directed Personal Support Services	1	377	26763.00	1.06	10695030.06	
Personal Support Services	15 min	22273	3931.00	4.15	363353926.45	
Personal Support Services Extended	15 min	18837	3796.00	4.51	322488686.52	
Occupational Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Occupational Therapy	1 visit	1	2.00	48.57	97.14	
Physical Therapy in Adult Day Health Care Total:						48.57
Adult Day Health Care Physical Therapy	1 visit	1	1.00	48.57	48.57	
Speech Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Speech Therapy	1 visit	1	2.00	48.57	97.14	
Alternative Living Services (ALS) Total:						36815750.40
Alternative Living Services (ALS)	per diem	2860	318.00	40.48	36815750.40	
Assistive Technology Total:						11383545.00
GRAND TOTAL: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Average Length of Stay on the Waiver:						1058530501.47 53779 19682.97 295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assistive Technology	annual max	8527	1335.00	1.00	11383545.00	
Emergency Response Services (ERS) Total:						4409259.75
Emergency Response Monitoring - Monthly	Monthly	12129	9.00	39.13	4271469.93	
Emergency Response Monitoring - Weekly	1 system	70	3.00	6.75	1417.50	
Emergency Response Installation	1 system	978	2.00	69.72	136372.32	
Financial Management Services (FMS) Total:						377708.76
Financial Management Services	pm/pm	377	11.00	91.08	377708.76	
Home Delivered Meals (HDM) Total:						32392711.84
Home Delivered Meals (HDM)	per meal	12829	344.00	7.34	32392711.84	
Home Delivered Services (HDS) Total:						100348494.10
Home Delivered Services - Home Health Nurse	per hour	5	5.00	60.18	1504.50	
Home Delivered Services - Home Health Aide	per hour	10582	1256.00	7.55	100346989.60	
Skilled Nurses Services (SNS) Total:						1979537.00
Skilled Nursing Services -RN	visit	550	10.00	53.21	292655.00	
Skilled Nursing Services - LPN	visit	1069	30.00	52.60	1686882.00	
Structured Family Caregiving Total:						46223260.60
Structured Family Caregiving	per diem	2683	191.00	90.20	46223260.60	
GRAND TOTAL:					1058530501.47	
Total Estimated Unduplicated Participants:					53779	
Factor D (Divide total by number of participants):					19682.97	
Average Length of Stay on the Waiver:						295

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (8 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 4

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:						23826938.27
Adult Day Health Care Level II Full Day	> 5 hours per diem	1452	141.00	51.66	10576455.12	
Adult Day Health Care Level I Full Day	> 5 hours per diem	1936	164.00	40.48	12852561.92	
Adult Day Health Care Level II Partial Day	3-5 hours half day	93	71.00	42.09	277920.27	
Adult Day Health Care Level I Partial Day	3-5 hours half day	57	68.00	30.96	120000.96	
Case Management Total:						115583625.00
Traditional Case Management	monthly	34240	10.00	203.79	69777696.00	
Enhanced Case Management	monthly	21710	10.00	210.99	45805929.00	
Out-Of-Home Respite Total:						9980.00
Out- of -Home Respite Care 15 min	15 min	11	118.00	2.32	3011.36	
Out- of -Home- Respite Care per diem	per diem	14	16.00	31.11	6968.64	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services Total:						758329641.73
Consumer Directed Personal Support Services	1	410	26792.00	1.06	11643803.20	
Personal Support Services	15 min	24249	3931.00	4.15	395589698.85	
Personal Support Services Extended	15 min	20508	3796.00	4.51	351096139.68	
Occupational Therapy in Adult Day Health Care						97.14
GRAND TOTAL:						1152909758.78
Total Estimated Unduplicated Participants:						58550
Factor D (Divide total by number of participants):						19691.03
Average Length of Stay on the Waiver:						295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Total:						
Adult Day Health Care Occupational Therapy	1 visit	1	2.00	48.57	97.14	
Physical Therapy in Adult Day Health Care Total:						48.57
Adult Day Health Care Physical Therapy	1 visit	1	1.00	48.57	48.57	
Speech Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Speech Therapy	1 visit	1	2.00	48.57	97.14	
Alternative Living Services (ALS) Total:						40085400.96
Alternative Living Services (ALS)	per diem	3114	318.00	40.48	40085400.96	
Assistive Technology Total:						12866238.00
Assistive Technology	annual limit	9283	1386.00	1.00	12866238.00	
Emergency Response Services (ERS) Total:						4800447.45
Emergency Response Monitoring - Monthly	monthly	13205	9.00	39.13	4650404.85	
Emergency Response Monitoring - Weekly	1 system	76	3.00	6.75	1539.00	
Emergency Response Installation	1 system	1065	2.00	69.72	148503.60	
Financial Management Services (FMS) Total:						410770.80
Financial Management Services	pm/pm	410	11.00	91.08	410770.80	
Home Delivered Meals (HDM) Total:						35266116.32
Home Delivered Meals (HDM)	per meal	13967	344.00	7.34	35266116.32	
Home Delivered Services (HDS) Total:						109252843.30
Home Delivered					1504.50	
GRAND TOTAL:						1152909758.78
Total Estimated Unduplicated Participants:						58550
Factor D (Divide total by number of participants):						19691.03
Average Length of Stay on the Waiver:						295

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Services - Home Health Nurse	per hour	5	5.00	60.18		
Home Delivered Services - Home Health Aide	per hour	11521	1256.00	7.55	109251338.80	
Skilled Nurses Services (SNS) Total:						2153941.90
Skilled Nursing Services -RN	visit	599	10.00	53.21	318727.90	
Skilled Nursing Services - LPN	visit	1163	30.00	52.60	1835214.00	
Structured Family Caregiving Total:						50323572.20
Structured Family Caregiving	per diem	2921	191.00	90.20	50323572.20	
GRAND TOTAL: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Average Length of Stay on the Waiver:						1152909758.78 58550 19691.03 295

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (9 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 5

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:						25947126.46
Adult Day Health Care Level II Full Day	> 5 hours per diem	1581	141.00	51.66	11516098.86	
Adult Day Health Care Level I Full Day	> 5 hours per diem	2108	164.00	40.48	13994421.76	
Adult Day Health Care Level II Partial Day	3-5 hours half day	101	72.00	42.09	306078.48	
Adult Day Health Care Level I Partial Day	3-5 hours half day	62	68.00	30.96	130527.36	
Case Management Total:						125836394.70
GRAND TOTAL: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Average Length of Stay on the Waiver:						1255793266.37 63743 19700.88 295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Traditional Case Management	monthly	37277	10.00	203.79	75966798.30	
Enhanced Case Management	monthly	23636	10.00	210.99	49869596.40	
Out-Of-Home Respite Total:						11190.33
Out- of -Home Respite Care 15 min	15 min	12	117.00	2.32	3257.28	
Out- of -Home- Respite Care per diem	per diem	15	17.00	31.11	7933.05	
Personal Support Services(PSS) / Personal Support Extended (PSSX)/Consumer Directed Personal Support Services Total:						825594293.56
Consumer Directed Personal Support Services	1	446	26814.00	1.06	12676586.64	
Personal Support Services	15 min	26400	3931.00	4.15	430680360.00	
Personal Support Services Extended	15 min	22327	3796.00	4.51	382237346.92	
Occupational Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Occupational Therapy	1 visit	1	2.00	48.57	97.14	
Physical Therapy in Adult Day Health Care Total:						48.57
Adult Day Health Care Physical Therapy	1 visit	1	1.00	48.57	48.57	
Speech Therapy in Adult Day Health Care Total:						97.14
Adult Day Health Care Speech Therapy	1 visit	1	2.00	48.57	97.14	
Alternative Living Services (ALS) Total:						43638249.60
Alternative Living Services (ALS)	per diem	3390	318.00	40.48	43638249.60	
Assistive Technology Total:						14623382.00
GRAND TOTAL: Total Estimated Unduplicated Participants: Factor D (Divide total by number of participants): Average Length of Stay on the Waiver:						1255793266.37 63743 19700.88 295

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assistive Technology	annual limit	10106	1447.00	1.00	14623382.00	
Emergency Response Services (ERS) Total:						5226087.63
Emergency Response Monitoring - Monthly	Monthly	14376	9.00	39.13	5062795.92	
Emergency Response Monitoring - Weekly	1 system	83	3.00	6.75	1680.75	
Emergency Response Installation	1 system	1159	2.00	69.72	161610.96	
Financial Management Services (FMS) Total:						446838.48
Financial Management Services	pm/pm	446	11.00	91.08	446838.48	
Home Delivered Meals (HDM) Total:						38394541.76
Home Delivered Meals (HDM)	per meal	15206	344.00	7.34	38394541.76	
Home Delivered Services (HDS) Total:						118944565.80
Home Delivered Services - Home Health Nurse	per hour	5	6.00	60.18	1805.40	
Home Delivered Services - Home Health Aide	per hour	12543	1256.00	7.55	118942760.40	
Skilled Nurses Services (SNS) Total:						2344677.20
Skilled Nursing Services -RN	visit	652	10.00	53.21	346929.20	
Skilled Nursing Services - LPN	visit	1266	30.00	52.60	1997748.00	
Structured Family Caregiving Total:						54785676.00
Structured Family Caregiving	per diem	3180	191.00	90.20	54785676.00	
GRAND TOTAL:					1255793266.37	
Total Estimated Unduplicated Participants:					63743	
Factor D (Divide total by number of participants):					19700.88	
Average Length of Stay on the Waiver:						295