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

PURPOSE OF THE HCBS WAIVER PROGRAM

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

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

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

1. Request Information

A. The State of Missouri requests approval for an amendment to the following Medicaid home and community-based services waiver approved under authority of §1915(c) of the Social Security Act.

B. **Program Title:**
Division of DD Community Support Waiver

C. **Waiver Number:MO.0404**
Original Base Waiver Number: MO.0404.90

D. **Amendment Number:MO.0404.R02.02**

E. **Proposed Effective Date:** *(mm/dd/yy)*
07/01/12
Approved Effective Date: 07/01/12
Approved Effective Date of Waiver being Amended: 07/01/11

2. Purpose(s) of Amendment

Purpose(s) of the Amendment. Describe the purpose(s) of the amendment:
This amendment is to add capacity to the waiver, to adjust the cost limit from $22,000 to $28,000 and select the option for automatic annual adjustments to the limit using the Consumer Price Index.

3. Nature of the Amendment

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

Component of the Approved Waiver	Subsection(s)
☐ Waiver Application	
☐ Appendix A – Waiver Administration and Operation	
☑ Appendix B – Participant Access and Eligibility	B-2a; B-3a; B-3b
☐ Appendix C – Participant Services	
☐ Appendix D – Participant Centered Service Planning and Delivery	
☐ Appendix E – Participant Direction of Services	

Component of the Approved Waiver	Subsection(s)
☐ Appendix F – Participant Rights	
☐ Appendix G – Participant Safeguards	
☐ Appendix H	
☐ Appendix I – Financial Accountability	
☑ Appendix J – Cost-Neutrality Demonstration	J-2a; J-2d

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

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

Specify:

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

1. Request Information (1 of 3)

A. The **State of Missouri** 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*):
Division of DD Community Support Waiver

C. **Type of Request:amendment**

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

☐ **3 years** ◉ **5 years**

Original Base Waiver Number: MO.0404
Waiver Number:MO.0404.R02.02
Draft ID: MO.11.02.02

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

E. **Proposed Effective Date of Waiver being Amended: 07/01/11**
Approved Effective Date of Waiver being Amended: 07/01/11

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 in42 CFR §440.160**

- [ ] **Nursing Facility**

Select applicable level of care

- [ ] **Nursing Facility As defined in 42 CFR §440.40 and 42 CFR §440.155**

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

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

- [x] **Intermediate Care Facility for the Mentally Retarded (ICF/MR) (as defined in 42 CFR §440.150)**

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

- [x] **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 Eligiblity for Medicaid and Medicare.

Check if applicable:

- [x] **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.
Goal: Establish and maintain a community based system of care for individuals who have mental retardation and developmental disabilities that includes an array of services that meets the individualized support needs of individuals who have a place to live in the community (usually with family), but require other support services in order to remain in that living arrangement.

Objectives: 1) provide individuals choice between ICF/MR institutional care and comprehensive community based care in a cost effective manner; 2) maintain and improve a community based system of care that diverts individuals from institutional care and residential care; 3) maintain and improve community based care so it is sufficient to support individuals living with family members; and 4) provide individuals choice and flexibility within a community based system of care.

Participants in this waiver have a place to live, but require supports so family members can continue employment and to give primary caregivers relief.

The waiver is administered by the Division of Developmental Disabilities (DD) through an interagency agreement with the Single State Medicaid Agency, Department of Social Services, MO HealthNet Division. Division of DD has 11 Regional Offices that are the gatekeepers for the waiver. The 11 Regional Offices determine eligibility, provide case management, and other administrative functions including quality enhancement, person centered planning, and operation of prior authorization and utilization review processes. Through intergovernmental agreements, some DD County Boards (public entities) also provide waiver administration functions (case management) in coordination with Regional Office and oversight from the Division of DD.

Service delivery methods in this waiver include provider-managaged (for all waiver serivces); and there is a self-directed option for personal assistant, community specialist, and support broker.

Each waiver provider has a contract with the Division of DD. Division of DD Regional Offices authorize services to the providers. Providers must bill through the Division of DD's prior authorization system. The Division of DD submits the qualified bills to the Medicaid claim processing fiscal agent. The Medicaid MMIS pays the providers directly for services provided.

3. Components of the Waiver Request

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

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

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

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

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

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

- (●) **Yes. This waiver provides participant direction opportunities.** *Appendix E is required.*
- ( ) **No: This waiver does not provide participant direction opportunities.** *Appendix E is not required.*

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

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

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

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

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

4. Waiver(s) Requested

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

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

- ☐ **Not Applicable**
- ☒ **No**
- ☐ **Yes**

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

- ☒ **No**
- ☐ **Yes**

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

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

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

5. Assurances

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

6. Additional Requirements

Note: Item 6-I must be completed.

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

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

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

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

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

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

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

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

I. **Public Input.** Describe how the State secures public input into the development of the waiver:
The Division's Quality Council, which was established in 2006, is comprised of self-advocates and family members. The Council meets quarterly and provides input regarding quality enhancement. The division director and staff from the division's executive management team meet several times each year with the Missouri Planning Council, the Missouri Association of County Developmental Disability services, the Missouri Association of Rehabilation Facilities, and the Missouri ARC. During these meetings, open discussions about the waivers take place. The division periodically assembles ad hoc workgroups to discuss and provide input on specific issues emerging from these discussions. All formal policies and guidelines are developed with stakeholder input, and drafts are posted for comment on the website before finalized and implement.

The division hosted public meetings during the summer of 2009 soliciting input regarding the waiver reapplication from self-advocates, family members, providers and other stakeholders. These meetings were facilitated by Robin Cooper of the National Association of Directors of Developmental Disability Services. Workgroups with

representation from providers, self-advocates and family members met during the late summer and fall of 2009 to assist in the development of service definitions. A stakeholder meeting took place in late November to discuss proposed performance measures and draft services, facilitated by Valerie Bradley of the Human Services Research Institute and Robin Cooper. Drafts were posted on the division's website and public input sought.

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: Edwards

First Name: Kristen

Title: Assistant Deputy Director, Program Operations

Agency: Missouri Department of Social Services, MO HealthNet Division

Address: 615 Howerton Court

Address 2: PO Box 6500

City: Jefferson City

State: Missouri

Zip: 65102-6500

Phone: (573) 751-9290 **Ext:** ☐ **TTY**

Fax: (573) 526-4651

E-mail: Kristen.Edwards@dss.mo.gov

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

Last Name:

8. Authorizing Signature

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

First Name: Rust

Title: Robin

Agency: Director of Federal Programs

Address: Missouri Department of Mental Health, Division of Developmental Disabilities

Address 2: 1706 E Elm

City: PO Box 687

State: Jefferson City

Zip: Missouri 65101

Phone: (573) 751-8209 **Ext:** ☐ **TTY**

Fax: (573) 751-9207

E-mail: Robin.Rust@dmh.mo.gov

Signature: Donna Sybouts

State Medicaid Director or Designee

Submission Date: Jul 2, 2013

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

Last Name: Tidball

First Name: Jennifer

Title: Interim Director

Agency: MO HealthNet Division, Department of Social Services

Address: 615 Howerton Court

Address 2:

City: P.O Box 6500

State: Jefferson City

Attachment #1:

Zip: Missouri

Phone: 65102-6500

Transition Plan

Fax: (573) 751-6922 **Ext:** ☐ **TTY**

Specify the transition plan for the waiver:

E-mail: N/A

(573) 751-6564

Additional Needed Information (Optional)

Jennifer.Tidball@dss.mo.gov

Provide additional needed information for the waiver (optional):

Appendix A: Waiver Administration and Operation

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

☐ **The waiver is operated by the State Medicaid agency.**

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

☐ **The Medical Assistance Unit.**

Specify the unit name:

(Do not complete item A-2)

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

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

(Complete item A-2-a).

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

Specify the division/unit name:
Missouri Department of Mental Health, Division of Developmental Disabilities

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

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

Appendix A: Waiver Administration and Operation

2. **Oversight of Performance.**

   a. **Medicaid Director Oversight of Performance When the Waiver is Operated by another Division/Unit within the State Medicaid Agency.** When the waiver is operated by another division/administration within the umbrella agency designated as the Single State Medicaid Agency. Specify (a) the functions performed by that division/administration (i.e., the Developmental Disabilities Administration within the Single State Medicaid Agency), (b) the document utilized to outline the roles and responsibilities related to waiver operation, and (c) the methods that are employed by the designated State Medicaid Director (in some instances, the head of umbrella agency) in the oversight of these activities:
   As indicated in section 1 of this appendix, the waiver is not operated by another division/unit within the State Medicaid agency. Thus this section does not need to be completed.

   b. **Medicaid Agency Oversight of Operating Agency Performance.** When the waiver is not operated by the Medicaid agency, specify the functions that are expressly delegated through a memorandum of understanding (MOU) or other written document, and indicate the frequency of review and update for that document. Specify the methods that the Medicaid agency uses to ensure that the operating agency performs its assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify the frequency of Medicaid agency assessment of operating agency performance:
   The Missouri Department of Social Services, MO HealthNet Division (MHD), has developed a HCBS waiver quality management strategy that is used to ensure that the operating agency, the Division of Developmental Disabilities (DD), is performing its assigned waiver operational functions and administrative functions in accordance with the waiver requirements during the period that the waiver is in effect. MHD and Division of DD meet quarterly to discuss administrative/operational components of the Community Support Waiver. This time is also used to discuss the quality assurances as outlined in Appendix H. Through a Memorandum of Understanding that exists between the two (2) agencies, communication remains open and additional discussions occur on an as needed basis.

   MHD conducts an analysis of quarterly and annual reports submitted by Division of DD to ensure that the operational functions as outlined in A-7 are being implemented in a quality manner. MHD reviews the information to ensure the following assurances are meeting the established outcomes: 1) Level of Care, 2) Plan of Care, 3) Qualified Providers, 4) Health and Welfare, 5) Administrative Authority, and 6) Financial Accountability. A formal report is provided to Division of DD outlining the results of the analysis and listing any areas for improvement. Division of DD in turn provides a written corrective action plan for any areas of deficiency, outlining the steps to be taken to ensure the assurances are being met. Goals and timelines are included. MHD works closely with DMH to monitor areas of deficiencies, to set goals and establish timeframes for compliance.

   In addition to Division of DD's ongoing record reviews throughout the year, MHD performs a statistically valid, statewide, annual record review, targeting problem areas identified through the reporting listed above. Problem areas are discussed with Division of DD who provides a corrective action plan to MHD outlining the steps being taken to address the problem. MHD continues to monitor for compliance to ensure that the action steps have been taken in a timely manner.

   The MHD monitors that Division of DD is providing oversight for disseminating information concerning the waiver to potential enrollees, assisting individuals in waiver enrollment, and conducting level of care evaluation activities through the quarterly meetings, review of statistical reports and the annual record review.

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.:*
Division of DD has a statewide contract for Fiscal Management Services that provide administrative functions to support individuals who self-direct services. This is the only contract entity that provides administrative services to waiver participants. The contractor is a public accounting company with responsibilities specifically related to processing payroll and reporting and paying related taxes and is not responsible for any functions listed in A-7.

☐ **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 non-state entities (counties), referred to as Missouri County SB-40 Boards that are approved to provide Targeted Case Management for persons who have Developmental Disabilities, perform waiver operational and administrative functions at the local level with oversight from the operating agency, Division of Developmental Disabilities. There is an intergovernmental agreement between the Division of Developmental Disabilities and these entities that sets out the responsibilities and performance requirements. The agreement between the State operating agency and these entities is available through the MO HealthNet, the Medicaid agency. Participation in administrative/operational functions include: Participant waiver enrollment; waiver enrollment managed against approved limits; waiver expenditures managed against approved limits; level of care evaluation; review of participants' service plans; utilization management; quality assurance and quality improvement activities.

☑ **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:

Local non-governmental non-state entities, referred to as other not for profit entities that contract with the Division of Developmental Disabilities to provide Targeted Case Management services perform waiver operational and administrative functions at the local level with oversight from the operating agency, Division of Developmental Disablities. There is a memorandum of understanding between the State and these entities that sets out the responsibilities and performance requirements for these entitites. The memorandum of understanding between the State operating agency and these entities is available through the MO HealthNet, the Medicaid agency. Participation in administrative/operational functions include: Participant waiver enrollment; waiver enrollment managed against approved limits; waiver expenditures managed against approved limits; level of care evaluation; review of participants' service plans; utilization management; quality assurance and quality improvement activities.

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 Operating Agency, Division of Developmental Disabilities, is responsible for assessing the performance of entities approved as Targeted Case Management providers for persons who have developmental disabilities and that also have responsibility for limited waiver administrative functions. In addition, the sample records of waiver participants that the MO HealthNet Division reviews, includes records of individuals for whom local SB-40 County Boards provide administrative functions.

Division of DD is also responsible for monitoring the fiscal management services contractor to ensure participants are promptly enrolled, workers are accurately paid, associated payroll taxes for the employers are deposited, and the escrow account and program financial records are maintained according to generally accepted accounting standards."

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:
1) Service coordinators employed by regional offices and other approved TCM entities conduct the initial and annual level of care evaluation. The Division of DD Regional Offices provide final approval of eligibility decisions, all service plans, and prior authorizations.

Each Regional Office has a Utilization Review Commitee that meets at least monthly. The committees review all new service plans and budgets and also any service plans and associated budget when an increase in spending is requested. All decisions are subject to the approval of the MO HealthNet Division.

2) Division of DD Regional Office Consumer Relations Staff conducts quarterly reviews with TCM entities (both local public entities and local non-public entities) that have been delegated waiver administrative functions in the following areas:

a. Participant waiver enrollment
Qualifications of staff;
Evidence the the annual service plan was prepared according to guidelines;
Evidence due process and appeals proceses are followed;
Accuracy of information entered in the Division's Consumer Information Management system;
Evidence records are maintained for each consumer receiving service coordination; and
Evidence consumer was provided choice of waiver service or ICF-MR service.

b. Participant waiver enrollment managed against approved limits

c. Level of care evaluation
Qualifications of staff;
Evidence the ICF/MR Level of Care Form was completed following the procedures;
Evidence the participant was accurately found eligible or ineligible; and
Evidence participants were reevaluated annually by qualified staff, who followed the process; and
Evidence determinations were accurate

d. Review of participant service plans

e. Utilization management
Service plan supports waiver services that are prior authorized;
Service coordinator case notes indicate monitoring was conducted of participants to prevent occurrences of abuse, neglect, and exploitation using risk assessment & planning;
Service authorizations accurately reflect service plan and budget plan;
Service plans are updated/reviewed at least annually, or when warranted by changes in the participant's needs;
Evidence that provider monthly reviews were done and documented in log notes;
Evidence that quarterly reviews were prepared;
Evidence services were delivered in accordance with the service plan including the type, scope, amount, duration, and frequency as specified in

the service plan.

f. Quality assurance and quality improvement activities

3) Annually, MO HealthNet Division reviews case records for a randomly selected group of waiver participants. This is a comprehensive compliance review of all waiver administrative responsibilities. All determinations and decisions by Division of DD and county entities in operating the waiver are subject to approval of the MO HealthNet Division.

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	Other State Operating Agency	Contracted Entity	Local Non-State 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	☑	☑	☐	☐
Quality assurance and quality improvement activities	☑	☑	☐	☑

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

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

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

i. **Performance Measures**

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 policies/procedures approved by the Medicaid agency prior to implementation. (Number of waiver policies/procedures reviewed prior to implementation / total number of waiver policies/procedures that were reviewed.)

Data Source (Select one):
Program logs
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = +/- 5%
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of unduplicated participants exceeding the maximum enrollment limits. (Number of persons enrolled per Division of DD Quarterly Reports/maximum number of persons approved to be served)

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

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

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver service claims paid that exceeded the maximum allowable rate. (Number of paid waiver service claims by procedure code exceeding the maximum reimbursement allowance/total number of paid waiver service claims by procedure code.)

Data Source (Select one):
Other
If 'Other' is selected, specify:
Report from MMIS of paid '85' DD waiver provider type claims

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

☐ **Other**
Specify:

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of MO HealthNet remediation actions requested of Division of DD, by type of remediation, that were properly resolved by Division of DD. (Total number of remediation actions properly resolved, by type of remediation/total number of remediation actions requested, by type of remediation.)

Data Source (Select one):
Program logs
If 'Other' is selected, specify:

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

	☐ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver enrollment complaints received by MO HealthNet that were resolved by Division of DD within timeline requested. (Number of enrollment complaints received directly by MO HealthNet that were resolved timely by Division of DD/total number of enrollment complaints received directly by MO HealthNet.)

Data Source (Select one):
Program logs
If 'Other' is selected, specify:

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

	☐ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver enrollment complaints received by MO HealthNet that were resolved by Division of DD within timeline requested. (Number of enrollment complaints received directly by MO HealthNet that were resolved timely by Division of DD/total number of enrollment complaints received directly by MO HealthNet.)

Data Source (Select one):
Program logs
If 'Other' is selected, specify:

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

	☐ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver enrollment complaints received by MO HealthNet that were resolved by Division of DD within timeline requested. (Number of enrollment complaints received directly by MO HealthNet that were resolved timely by Division of DD/total number of enrollment complaints received directly by MO HealthNet.)

Data Source (Select one):
Program logs
If 'Other' is selected, specify:

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

		Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver service units authorized that were delivered based on billed units of service. (Number of waiver service units authorized by service procedure code/number of waiver services billed by service procedure code to MO HealthNet.)

Data Source (Select one):
Other
If 'Other' is selected, specify:
Division of DD authorization records and MMIS billed unit records.

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

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

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of untimely initial level of care determinations that were properly remediated by Division of DD. (Number of findings properly remediated by Division of

DD in the sample/number of remediated findings reviewed in the MO HealthNet sample.)

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 = +/- 5%
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of complaints received by DMH-Office of Consumer Safety for Waiver Participants that were properly resolved. (Number of individual remediations that Division of DD properly resolved in the MO HealthNet sample/number of individual remediations reported by Division of DD that were in the MO HealthNet sample.)

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

Responsible Party for data collection/generation *(check each that applies):*	Frequency of data collection/generation *(check each that applies):*	Sampling Approach*(check each that applies):*
☑ State Medicaid Agency	☐ Weekly	☐ 100% Review
☑ Operating Agency	☐ Monthly	☑ Less than 100% Review
☐ Sub-State Entity	☐ Quarterly	☑ Representative Sample Confidence Interval = +/- 5%
☐ Other Specify:	☑ Annually	☐ Stratified Describe Group:
	☐ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	Frequency of data aggregation and analysis*(check each that applies):*
☑ State Medicaid Agency	☐ Weekly
☑ Operating Agency	☐ Monthly

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

Performance Measure:
Number and percent of service plans Division of DD properly remediated that had a finding that the plan was not adequate and appropriate to meet the needs in the plan. (Number of remediated service plans that were properly remediated in the sample/number of remediated service plans in the MO HealthNet sample.)

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 = +/- 5%
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of Division of DD findings of provider failure to initially meet or continue to maintain required licensure/certification that were properly remediated. (Number of providers that failed to initially meet or continue to maintain required licensure/certification and properly remediated divided by total number of ongoing providers seeking licensure/certification).

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 = +/- 5%
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:

	☐ Other Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver services paid that did not go through the Division of DD prior authorization system. (Number of waiver services paid that were submitted through the Division of DD prior authorization system/number of waiver services paid.)

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**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified**

		Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Amount and percent of variance between actual factor D + D' and G+G'. (Total of D+D'/Total of G+G') Measures cost effectiveness over ICF/MRs level of care.

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**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample**

		Confidence Interval =
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of untimely reevaluations of level of care determinations that were properly remediated by Division of DD. (Number of findings properly remediated by Division of DD in the sample/number of remediated findings reviewed in the MO HealthNet sample.)

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 = +/- 5%
☐ Other Specify:	☑ Annually	☐ Stratified Describe Group:
	☐ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of redeterminations of level of care made by persons other than a qualified staff that were properly remediated by Division of DD. (Number of findings properly remediated by Division of DD in the sample/number of remediated findings reviewed in the MO HealthNet sample.)

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 = +/- 5%
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of initial level of care determinations where the proper forms were not used that were properly remediated by Division of DD. (Number of findings properly remediated by Division of DD in the sample/number of remediated findings reviewed in the MO HealthNet sample.)

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 = +/- 5%
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of redeterminations of level of care where the proper forms were not used that were properly remediated by Division of DD. (Number of findings properly remediated by Division of DD in the sample/number of remediated findings reviewed in the MO HealthNet sample.)

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 = +/- 5%
☐ Other Specify:	☑ Annually	☐ Stratified Describe Group:
	☐ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
MO HealthNet has a Memorandum of Understanding with the Division of Developmental Disabilities (Division of DD)delegating administrative duties. MO HealthNet receives quarterly reports from the Division of DD in advance of a quarterly meeting with administrative and quality enhancement leadership team of Division of DD. Findings in the report are discussed and trends noted. MO HealthNet requests additional information and corrective action based on a review of data reported and discussed. Meeting minutes record discussions and follow-up/remediation required of Division of DD by MO HealthNet. MO HealthNet also has samples individual remediations reported by the Division of DD to ensure findings were properly resolved around level of care, service plan, health and safety, and qualified provider.

Performance measures related to policy and procedure review: A review of waiver policies and procedures will ensure that no Waiver policy/procedure is implemented by Division of DD prior to approval by MO HealthNet. These reviews will be documented in the MO HealthNet Waiver Review Log.

In addition, MO HealthNet will, through ongoing review of service plans, utilization review/quality review processes provided by Division of DD, and data obtained through the MMIS monitor to ensure compliance with all assurances and sub-assurances. If MO HealthNet discovers that a policy/procedure was implemented by Division of DD without MO HealthNet's approval, MO HealthNet will immediately notify Division of DD in writing that such policy or policy modification is not effective pending the review and approval of MO HealthNet. MO HealthNet will perform an expedited review of the applicable policy or policy modification, and will provide a written response regarding the disposition of the policy or policy modification. If revisions to the policy are needed, MO HealthNet will advise the Division of DD regarding required revisions, with subsequent review and approval by MO HealthNet prior to implementation of the policy or policy modification. If approved, the effective date of such policy or policy modification will be no earlier than the date of approval by MO HealthNet.

Remaining performance measures: Issues which require individual remediation may come to MO HealthNet's attention through quarterly review of the Division of DD Quality Management Reports, as well as through day-to-day activities of the MO HealthNet Divsion, e.g., review/approval of provider agreements, utilization review and Quality Review processes, complaints from MO HealthNet participants related to

waiver participation/operation by phone or letter, etc. Remediation activities will be reported to MO HealthNet by the Division of DD as follow-up to these activities, and will also be aggregated in the Division of DD Quality Management Reports.

MO HealthNet requires that all individual issues are appropriately and timely remediated by Division of DD. If MO HealthNet discovers that any issue was not appropriately remediated, MO HealthNet will notify Division of DD and provide 10 days to identify an effective remediation strategy and 30 days to provide documentation to MO HealthNet that the strategy was implemented and was effective. All such issues will be included on the agenda for discussion at quarterly Quality Management Strategy Meetings. Inadequate remediation strategies identified by MO HealthNet, as well as alternative remediation strategies implemented by the Division of DD and dates of completion will be included in the MO HealthNet Waiver Review Log. The Waiver Review Log will identify MO HealthNet findings related to each performance measure, MO HealthNet and/or Division of DD remediation actions as appropriate, and timeframes required for remediation. On a quarterly basis, the MO HealthNet Waiver Review Log will include an analysis of data received from the Division of DD and data generated by MO HealthNet for the purpose of identifying the number and percentage of MO HealthNet and Division of DD findings appropriately remediated in accordance with specified timeframes.

ii. **Remediation Data Aggregation**

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

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

c. **Timelines**

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of 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 a group 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 waiver target group, check each of the subgroups in the selected target group 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			☐
	☐	Disabled (Physical)			
	☐	Disabled (Other)			
☐ Aged or Disabled, or Both - Specific Recognized Subgroups					
	☐	Brain Injury			☐
	☐	HIV/AIDS			☐
	☐	Medically Fragile			☐
	☐	Technology Dependent			☐
◉ Mental Retardation or Developmental Disability, or Both					
	☐	Autism			☐
	☑	Developmental Disability	0		☑
	☑	Mental Retardation	0		☑
☐ Mental Illness					
	☐	Mental Illness			
	☐	Serious Emotional Disturbance			

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

An eligible individual has a place to live in the community, typically with family. Unpaid caregivers/ family will provide a substantial amount of care. However, the individual requires services and supports in scope or intensity beyond what the primary caregiver(s) is able to provide 24-hours in a day and/or every day of the year. The caregiver's inability to meet all service and support needs puts the individual at risk of out of home placement in an ICF/MR. The individual must have assessed needs estimated to cost less than $22,000 per year.

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

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

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

☐ **Cost Limit in Excess of Institutional Costs.** The State refuses entrance to the waiver to any otherwise eligible individual when the State reasonably expects that the cost of the home and community-based services furnished

to that individual would exceed the cost of a level of care specified for the waiver up to an amount specified by the State. *Complete Items B-2-b and B-2-c.*

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

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

Specify the percentage:

☐ **Other**

Specify:

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

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

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

• The basis for the limit is that individuals participating in this waiver live with family members or have funding from other public programs that in combination with waiver services ensures the individuals have sufficient services and supports to assure their health and safety.
• Individuals are assessed prior to entering this waiver and annually to identify their needs and estimate the cost of waiver services necessary to meet the needs. If the estimated cost of waiver services exceeds the limit initially or after entering the waiver, the individual is considered for participation in another DD waiver that that can meet their need that does not have a cap.
• The 11 regional offices of the operating agency report to the operating agency's central office if the cap becomes too low to meet the needs of a significant number of current participants and/or prospective participants. The cap will be adjusted by amendment if it is determined the cap is not sufficient to meet the needs of a growing number of participants or as a result of system changes such as a statewide provider rate increase.

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

◉ **The following dollar amount:**

Specify dollar amount: 28000

The dollar amount *(select one)*

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

Specify the formula:

The cost limit will be adjusted annually by the Consumer Price Index (CPI)

☐ **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:

In advance of enrollment in the waiver, the needs of the individual and how best to meet the needs are identified. From this assessment, a plan of care is developed that specifies the amount, frequency, and duration of all services that are needed to assure health and safety. All potential sources for meeting the needs will be explored such as private insurance, other federal programs, State Plan Medicaid, other state and local programs as well as non-paid support provided by family and friends. The plan/budget is sent through the Utilization Review Committee which reviews the request and proposed costs. The committee makes a recommendation to approve, change or deny all or some services proposed in the budget based on statewide Utilization Review Committee criteria(9 CSR 45-2.017) If the individual's needs cannot be met within the cost limit, the Comprehensive Waiver will be considered.

If enrollment to the waiver is denied the applicant is notified in writing that they have an opportunity to request a fair hearing.

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

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

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

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

If there is a change in the participant's condition or circumstances which result in increased needs and services to assure the participant's health and welfare, the case manager will propose a change to the plan. The changed plan will be subject to utilization review. The utilization review committee may approve or deny the changes, or may recommend alternative solutions. If increased services are denied, the person will be advised in writing, and will be provided information on appeal rights.

If a proposed plan or proposed change to a plan will cause the annual cap to be exceeded but the service(s) is deemed necessary to protect the person's health and safety and/or prevent the person from entering an institution, an exception can be requested. Exceptions may be approved by the Division of DD Director, or a designee, for a one time expense, during a crisis or a transition period, or other circumstances supported by a recommendation from the regional office's utilization review committee.

Individuals participating in the waiver will not lose eligibility for service due to an increased need for a covered service that causes the total need to exceed maximum amounts established by the state.

Examples of action the planning team may take to assist the person in accessing additional services that are required for health and safety and to avoid institutionalization are:
• Seek additional natural supports;
• Consider accessing non-waiver State or County (local) funds;
• Request approval for an exception from the Division of DD Director or designee, to exceed a maximum limitation for a one-time expense, or during a crisis or transition period; and/or
• Provide the person information regarding other Missouri waivers such as the DD Comprehensive waiver and provide assistance with applying and transitioning as needed.

If it is determined that the individual's health and welfare cannot be assured in the community by any or a

combination of the above actions, the State may find it necessary to discharge the person from the waiver and may recommend institutional services.

☑ **Other safeguard(s)**

Specify:

When there is a change in the participant's condition or circumstances the needs of the individual are reevaluated. In some cases, an exception to the cap may be authorized, or the individual may be referred to other services which could include the DD Comprehensive Waiver.

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	1500
Year 2	1575
Year 3	1667
Year 4	1851
Year 5	2054

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	1400
Year 2	1500
Year 3	1567
Year 4	1751
Year 5	1954

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	
Crisis	

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)*:

Crisis

Purpose *(describe)*:

Reserve capacity for individuals in crisis is for indviduals who are in emergency situations as defined by the Division of DD, 9 CSR 45-2.017 (E). Includes: 1) individuals in immediate need of life-sustaining services; 2) individuals needing immediate services to protect another person from imminent physical harm; 3) individuals transitioning from institutional services; 4) individuals still requiring significant levels of service who are no longer eligible for another program or services (another waiver, etc.); 5) individuals in care and custody of Children's Division for whom there is a formal agreement in place with Division of DD; 6) individuals under age 18 requiring coordinated services through several agencies to avoid court action; or 7) individuals subject to ongoing or pending legal action requiring immediate delivery of services.

Describe how the amount of reserved capacity was determined:

The State reserves capacity for crisis. The amount of the reserved capacity was determined by reviewing participant data for individuals entering the waiver in the past 5 years who were reported to have crisis status.

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 (renewal only)	100
Year 5 (renewal only)	100

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)*:

- [x] **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:

- [x] **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:

Division of DD's Utilization Review (UR) Process, conducted by regional offices, prioritizes the needs of individuals in order to identify and serve individuals with the greatest needs first. The UR process is applied to all new service plans and new/increased budgets developed by planning teams. The UR process is standardized for use at all regional offices. Service plans and budgets developed by Targeted Case Management Entities are also subject to this review process. The process rates priority of need and assigns points with a score of 12 representing individuals who have the greatest need in the State. Individuals with scores of 12 are served first statewide before individuals with scores of 11, 10, etc. are served. Should there be any change in the person's status during this time, the Utilization Review Process will be updated in order to reflect the individual's current needs.

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**
   - [x] **209(b) State**
2. **Miller Trust State.**
   Indicate whether the State is a Miller Trust State *(select one)*:
   - [ ] **No**
   - [x] **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)

- [x] **Low income families with children as provided in §1931 of the Act**

- [ ] **SSI recipients**
- [x] **Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121**
- [x] **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)**
- [x] **Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)**
- [x] **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)**
- [x] **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:

The state elects to serve all other mandatory and optional groups included in the State plan, except for the Special home and community group under 42 CFR 435.217.

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

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

Select one and complete Appendix B-5.

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

Check each that applies:

- [ ] **A special income level equal to:**

Select one:

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

Specify percentage:

- ( ) **A dollar amount which is lower than 300%.**

Specify dollar amount:

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

Select one:

- [ ] **100% of FPL**
- [ ] **% of FPL, which is lower than 100%.**

Specify percentage amount:

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

Specify:

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (1 of 4)

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 State that uses spousal impoverishment rules under §1924 of the Act to determine the eligibility of individuals with a community spouse may elect to use spousal post-eligibility rules under §1924 of the Act to protect a personal needs allowance for a participant with a community spouse.

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 *(select one):*

Answers provided in Appendix B-4 indicate that you do not need to submit Appendix B-5 and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (2 of 4)

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

Answers provided in Appendix B-4 indicate that you do not need to submit Appendix B-5 and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (3 of 4)

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

Answers provided in Appendix B-4 indicate that you do not need to submit Appendix B-5 and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

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

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).

Answers provided in Appendix B-4 indicate that you do not need to submit Appendix B-5 and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

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

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

i. **Minimum number of services.**

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

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

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

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

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

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

Specify the entity:

The State Plan was amended in 2009 to add a fourth type of TCM provider: not for profit agency registered with Secretary of State and designated by the Division of DD. The Division of DD Regional Office has final approval of all Level of Care evaluations.

- ☐ **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:

Initial evaluations are conducted by a qualified service coordinator employed by the Division of DD or Targeted Case Management Entities approved by Division of DD to provide targeted case management. All level of care determinations are approved by the Division of DD Regional Offices and are subject to the approval of the State Medicaid Agency.
Qualifications of individuals performing level of care evaluations are specified in the Medicaid state plan for Targeted Case Management for persons with developmental disabilities approved by CMS September 11, 2009. This states case managers employed by a qualified provider shall meet the minimum experience and training qualifications as the for a Qualified Developmental Disability Professional (QDDP). The qualifications for a QDDP are the same as the minimum required for the position of Case Manager I with the Division of DD and require:
(1) One or more years of professional experience: (a) as a Registered Nurse; (b) in social work, special education, psychology, counseling, vocational rehabilitation, physical therapy, occupational therapy, speech therapy, or a closely related area; or (c) in providing direct care to persons who have developmental disabilities; and
(2) A bachelors degree from an accredited college or university with a minimum of 24 semester hours or 36 quarter hours of credit in one or a combination of human service field specialties. Additional experience as a Registered Nurse may substitute on a year-for-year basis for a maximum of two years of required education.

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 Division of Developmental Disabilities Waiver ICF/MR Level of Care Determination Form is the instrument/tool used to determine level of care in this waiver just like the other DD waivers. An assessment of the individual is conducted before the form is completed using the Missouri Critical Adaptive Behaviors Inventory (MOCABI). This is a tool specific to Missouri that identifies functional limitations and needs. The Vineland or other age appropriate tools may be used for children when more appropriate.

The Division of Developmental Disabilities Waiver ICF/MR Level of Care Determination must confirm and document the following:
1) The person has mental retardation or a related condition;
2) The person has a need for a continuous active treatment program, including aggressive consistent implementation of a program of specialized and generic training, treatment, health services and related services that are directed toward the acquisition of regression or loss of current optimal functioning status; and
3) there is a reasonable indication, based on observation and assessment of the person's physical, mental and environmental condition, that the only alternative services that can meet the individual's needs if waiver services are not available are services through an ICF/MR.

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 Division of DD.

Qualified service coordinators employed by the Regional Office or an entity enrolled with MO HealthNet to provide targeted case management for individuals who have developmental disabilities complete evaluations of level of care. Regional Office administrative staff review the evaluation of level of care, the draft service plan, the priority of need recommendation and determines final eligibility for the waiver.

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.

The State uses the same tool to determine eligibility for ICF/MR services and eligibility for nursing home services. Therefore, a different process/tool is used to determine eligibility for this waiver. The process/tool is analogous to the initial level of care assessment performed for admission to the ICF/MR and nursing home

programs, but is more appropriate to the assessment of persons who have developmental disabilities.

The tool walks the evaluator through the process of determining:
1) if the individual has mental retardation or a related condition based on identifying limitations in 3 or more major life activities;
2) if the individual needs a continuous active treatment program, including aggressive consistent implementation of a program of specialized and generic training, treatment, health services and related services that are directed towards the acquisition of the behaviors necessary to function with as much self determination and independence as possible; and the prevention of deceleration of regression or loss of current optimal functional status; and
3) if there is reasonable indication that without access to waiver services the only alternative services that will be available to meet the person's need are ICF/MR services.

The Division of Developmental Disabilities Waiver ICF/MR Level of Care Determination Form is used to determine eligibility. The MOCABI or an age appropriate tool such as the Vineland is administered first to assess functioning level. The evaluator is also asked to report a summary/list of any other assessments and evaluations from the individual's record that may have been considered. Information from these assessments is used to complete the actual level of care determination form which results in a determination of eligibility.

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:

Qualified service coordinators reevaluate each participant annually to determine if the individual continues to be eligible for Waiver. The same tool is used in the reevaluations process as is used in the initial eligibility process. The reevaluation includes reviewing and/or updating previous assessments on which the previous evaluation was based, including the Vineland, and re-documentation of conditions of eligibility as listed above.

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)*:

Service coordinators employed by the Division of DD regional offices or Targeted Case Management Entities are responsible for reevaluating each participant as part of the annual person centered planning process for continued need for an ICF/MR level of care. Division of DD regional offices must approve eligibility decisions that are made by Targeted Case Management Entity employees. All decisions are subject to approval of the Medicaid Agency.

Ensuring this is done annually is the responsibility of the Division of DD Regional Office or the Targeted Case Management entity providing service coordination. Each agency must keep records to track the number of annual re-determinations conducted of all current waiver participants, the number of individuals who continue to be found eligible and the number found to be ineligible.

All service coordinators and supervisors have access to centralized data systems in order to verify evaluations are

conducted timely.

Quality Management Reports submitted to MO HealthNet by the operating agency and annual sample reviews conducted by MO HealthNet also ensures that a system has been designed and implemented for assuring reevaluations of the level of care need are conducted in a timely manner.

The DMH Consumer Information Management Outcomes and Reporting system (CIMOR) is a comprehensive data base that contains consumer demographics, service coordination information, waiver assignment, dates of evaluations, service plans, provider demographics, services by provider, waiver service authorizations and other information. CIMOR also has sophisticated reporting capacity, which is the process used to assure timely evaluations.

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:

Evaluation and reevaluation records are located in the Division of DD Regional Office serving the individual or the office of a Targeted Case Management entity approved by Division of DD to perform targeted case management.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

a. **Methods for Discovery: Level of Care Assurance/Sub-assurances**
   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/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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

      Performance Measure:
      Number and percent of all new enrollees who have a completed assessment indicating a need for ICF/MR LOC prior to receiving services. (New enrollees with assessments completed prior to receiving services ÷ all new enrollees)

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

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

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

Data Aggregation and Analysis:

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

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/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:
The number and percent of waiver participants who received an annual level of care redetermination within 12 months of their last annual LOC evaluation. (Number of LOC redeterminations completed within 12 months of last annual LOC determination ÷ All levels of care)

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

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

Data Aggregation and Analysis:

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

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/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 percentage of LOC determinations for applicants completed by a qualified staff person. (Number completed by a qualified staff person ÷ All LOC)

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 =

		.95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percentage of LOC determinations that used instruments and processes described in the waiver application. (Number of LOC completed using processes and instruments described in the waiver ÷ Number of LOC completed)

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):*
	☐ **Weekly**	☐ **100% Review**

☐ **State Medicaid Agency**		
☑ **Operating Agency**	☑ **Monthly**	☑ **Less than 100% Review**
☑ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of LOC determinations that were completed accurately (Number of LOC determinations completed accurately ÷ all LOC completed)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
When an error is discovered, a quality enhancement staff notifies the Regional Assistant Director of Habilitation in writing within 10 days of the date of discovery. The local Assistant Director reviews the error, and works with service coordination staff to correct the error. The Assistant Director will notify the quality enhancement staff in writing within thirty (30) days describing how the error was corrected and any remedial staff training that was necessary. Methods of remediation include: performing a LOC for those that were not done, re-training of staff to perform a LOC accurately, establishing an individual tracking mechanism if one was not in place at the regional/county level. Remediation reported as: completed within 30 days, 31 to 60 days, more than 61 days and not completed.

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

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

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

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

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

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

   Service coordinators employed by Division of DD Regional Offices and Targeted Case Management Entities approved to provide case management explain to individuals the choice between ICF/MR institutional services and Home and Community Based services. Individuals, or a legally responsible party, are asked to make a choice between receiving services through the ICF/MR Program or the HCBS Waiver Program. This is documented by the individual or a legal representative signing and dating a Waiver Choice Form. The service coordinator also signs and dates the Waiver Choice form. Prior to authorization of waiver services the individual completes a form giving them the choice between ICF/MR services and waiver services. If they choose the latter only then will waiver services begin. Forms are available upon request from the operating agency.

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.

   Signed and dated paper copies of Waiver Choice Forms are maintained in the individual's record at the regional office or the office of the Targeted Case Management entity that provides targeted case management.

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):
The Office for Deaf and Multicultural Services is an agency-wide policy and program development office for the Department of Mental Health (DMH). This office is responsible for consultation and assistance to DMH facilities and providers delivering mental health services to eligible individuals who are Deaf, hard of hearing or from cultural minority people groups. Activities for systemic development include policy development, evidence based practices and program development informed by advisory input of DMH stakeholders.

All providers of services under contract with the Department of Mental Health are required to provide free language assistance per Title VI of the Civil Rights Act. The state of Missouri has a statewide services contract that is available for providing over the phone verbal language interpretation (language line) and written language translation as well as sign language interpretation. Foreign language interpretation includes interpretation of all languages. If a client requests that a volunteer, friend, family member, etc. provide interpretation services, the state agency may utilize the volunteer, friend, family member, etc. to provide interpretation services, unless otherwise indicated by the state agency. In addition, because interpreting and alternative language services are also available in the Division of DD service catalog, Division of DD may contract with a qualified individual or agency to provide these services to an individual that has language interpretation needs. Interpreting capabilities shall include, but not be limited to, interpreting medical concepts/language, medical brochures, mental health therapy, mental health testing and evaluation, mental health topics in therapeutic situations, legal topics/concepts that focus on a client's incarcerations, capacity, etc., and highly technical concepts such as data processing terms. Those interpreters with specialized skills should be the preferred interpreters for providing services.

The State Medicaid Agency (MO HealthNet) operates several informational hotlines. One is the MO HealthNet Participant Services hotline. This is available for MO HealthNet participants who have questions related to their eligibility, covered services, etc. If an individual with limited English proficiency calls, interpreting services are made available.

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	Community Employment		
Statutory Service	In -Home Respite		
Statutory Service	Job Preparation		
Statutory Service	Personal Assistant		
Other Service	Assistive Technology		
Other Service	Behavior Analysis Service		
Other Service	Co-Worker Supports		
Other Service	Communication Skills Instruction		
Other Service	Community Specialist Services		
Other Service	Counseling		
Other Service	Crisis Intervention		
Other Service	Environmental Accessibility Adaptations-Home/Vehicle Modification		
Other Service	Independent Living Skills Development		
Other Service	Job Discovery		
Other Service	Occupational Therapy		
Other Service	Out of Home Respite		
Other Service	Person Centered Strategies Consultation		
Other Service	Physical Therapy		
Other Service	Professional Assessment and Monitoring		
Other Service	Specialized Medical Equipment and Supplies (Adaptive Equipment)		
Other Service	Speech Therapy		
Other Service	Support Broker		
Other Service	Transportation		

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:

Supported Employment

Alternate Service Title (if any):

Community Employment

Service Definition *(Scope):*

Community employment is competitive work in an integrated work setting with on-going support services for individuals with developmental disabilities. The service must be identified in the individual's service plan. Models of community employment may include individual jobs or group such as enclaves (a cluster of jobs in an integrated setting, such as a plant), and mobile crew. Individual and group services are defined separately below.

Individual Community Employment:

Community employment services are delivered in the community at large when seeking employment and in integrated business work settings (including self-employment situations) where the individual with a developmental disability has chosen to become employed. Ongoing support consists of continuous or periodic job skill training as specified in the individual's service plan to enable the individual to perform the work.

Community Employment services may include:
• Individualized job development and placement;
• On-the-job training in work and work-related skills;
• Ongoing supervision and monitoring of the person's performance on the job; and
• Training in related skills needed to obtain and retain employment such as using community resources and public transportation.

While other services may also provide training in using community resources and public transportation, this particular training component is directly related to obtaining employment. While a waiver participant's ISP may also include other services that provide training in using community resources and public transportation, documentation will clearly indicate no duplication in services, in accordance with 13 CSR 70-3.030(2)(A) 6. requiring a begin and end time for services reimbursed according to time spent in service delivery.

Group Employment:
Group employment services are delivered in regular business and industry settings for groups of no more than six (6) workers with disabilities. With written approval from the Regional Office Director the group size may be up to eight (8) workers. Examples include enclaves and mobile work crews. The outcome of this service is sustained paid employment.
Group Employment services may include:
• job development and placement;
• On-the-job training in work and work-related skills;
• Ongoing supervision and monitoring of the person's performance on the job; and
• Training in related skills needed to obtain and retain employment such as using community resources and public transportation.

Additional Information about employment services:
When participants are compensated they must be paid in accordance with the United States Fair Labor Standards Act (USFLSA) of 1985
Personal care/assistance may be a component of employment services, but may not comprise the entirety of the service. Individuals who receive job discovery and preparation services may also receive other day services. A participant's service plan may include two or more types of non-residential services. However, any combination of non-residential services may not be billed during the same period of the day.

Transportation costs are not included in the community employment fee, but specialized transportation is available as a separate service if necessary.

The waiver will not cover vocational rehabilitation services, which are otherwise available under section 110 of the Rehabilitation Act of 1973. Therefore, the case records for individuals receiving community employment services under the waiver will document that the participant was denied benefits by the Missouri Department of Elementary and Secondary Education, Office of Adult Learning and Rehabilitation Service (VR), exhausted VR benefits (nine months is the maximum in Missouri), VR does not cover the specific employment service the individual requires, or the person requests supports from a provider that does not participate in VR's system. The service coordinator's documentation of VR's failure to confirm a denial of benefits in writing within 30 days of verbal notification may also serve as evidence of eligibility for community employment services.

Federal Financial Participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following: 1) Incentive payments made to an employer to encourage or subsidize the employer's participation in a community employment program; 2) Payments that are passed through to users of community employment programs; or 3) payments for training that is not directly related to an individual's community employment program.
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	Supported Employment

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Community Employment

Provider Category:
Agency

Provider Type:
Supported Employment

Provider Qualifications

License *(specify)*:
9 CSR 30-5.050

Certificate *(specify)*:
9 CSR 45-5.010 certification; CARF; CQL or the Joint Commission accreditation

Other Standard *(specify)*:
DMH Contract;
Staff qualifications are in DMH contract and are summarized as follows:
Must be 18 years of age; have a high school diploma or its equivalent; training in preventing, detecting, and reporting of abuse and neglect prior to providing direct care; training in the implementation of each individual's service plan within one month of employment; training in positive behavior support curriculum approved by the Division of DD within 3 months of employment. Additionally staff administering medication and/or supervising self-administration of meds must have successfully met the requirements of 9 CSR 45-3.070.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Statutory Service

Service:
Respite

Alternate Service Title (if any):
In -Home Respite
Service Definition *(Scope)*:
In-home respite care is provided to individuals unable to care for themselves, on a short-term basis, because of the absence or need for relief of those persons normally providing the care. To be eligible for in-home respite care, the persons who normally provide care to the individual must be other than formal, paid caregivers. This service is not delivered in lieu of day care for children nor does it take the place of day habilitation programming for adults. While ordinarily provided on a one-to-one basis, in-home respite may include assisting up to three individuals at a time. The only limitation on total hours provided is that they be necessary to avoid institutionalization and remain within the overall cost effectiveness of each individual's service plan. The service is provided in the individual's place of residence. If the service includes overnight care, it must be provided in the individual's place of residence.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
A unit of service is 15 minutes or one day. The only limitation on total hours provided is that they be necessary to avoid institutionalization and remain within the overall cost effectiveness of each individual's service plan.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	Residential Habilitation
Individual	Independent Contractor
Agency	Day Habilitation
Agency	Individualized Supported Living
Agency	Medicaid State Plan personal care, respite, or homemaker services provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: In -Home Respite

Provider Category:
Agency
Provider Type:
Residential Habilitation
Provider Qualifications
License *(specify)*:
9 CSR 40-1,2,4,5
9 CSR 40-1,2,4,7
Certificate *(specify)*:
9 CSR 45-5.010; CARF; CQL or the Joint Commission.
Other Standard *(specify)*:
DMH Contract;
The agency-based provider of respite must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the service plan.
Verification of Provider Qualifications

Entity Responsible for Verification:
Agency verifies qualification of relatives employed by agencies; oversight by Regional Office
Frequency of Verification:
Agency verifies upon hiring and as needed based on supervision; regional office monitors provider annually

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: In -Home Respite

Provider Category:
Individual
Provider Type:
Independent Contractor
Provider Qualifications
License *(specify)*:
Missouri State professional license such as RN or LPN,
Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract;
Shall not be the consumer's spouse; a parent of a minor child (under age 18); nor a legal guardian
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional Office staff
Frequency of Verification:
Prior to signed contract; as needed based on service monitoring concerns and as consumer needs change

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: In -Home Respite

Provider Category:
Agency
Provider Type:
Day Habilitation
Provider Qualifications
License *(specify)*:
9 CSR 40-1,2,9
Certificate *(specify)*:
9 CSR 45-5.010; CARF; CQL or Joint Commsission
Other Standard *(specify)*:
DMH Contract;
The agency-based provider of respite must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the service plan.
Verification of Provider Qualifications
Entity Responsible for Verification:
Agency verifies qualification of relatives employed by agencies; oversight by Regional Office

Frequency of Verification:
Agency verifies upon hiring and as needed based on supervision; regional office monitors provider annually

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: In -Home Respite

Provider Category:
Agency

Provider Type:
Individualized Supported Living

Provider Qualifications

License *(specify):*
9 CSR 40-1,2,4,6

Certificate *(specify):*
9 CSR 45-5.010; CARF; CQL or Joint Commission

Other Standard *(specify):*
DMH Contract;
The agency-based provider of respite must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the service plan

Verification of Provider Qualifications

Entity Responsible for Verification:
Agency verifies qualification of relatives employed by agencies; oversight by Regional Office

Frequency of Verification:
Agency verifies upon hiring and as needed based on supervision; regional office monitors provider annually

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: In -Home Respite

Provider Category:
Agency

Provider Type:
Medicaid State Plan personal care, respite, or homemaker services provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*
Medicaid Personal Care Provider Agreement; DMH Contract;
The agency-based provider of respite must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the plan.

Verification of Provider Qualifications

Entity Responsible for Verification:
Agency verifies qualification of relatives employed by agencies; oversight by Regional Office
Frequency of Verification:
Agency verifies upon hiring and as needed based on supervision; regional office monitors 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:
Statutory Service
Service:
Prevocational Services
Alternate Service Title (if any):
Job Preparation
Service Definition *(Scope)*:
Job preparation services provide training and work experiences intended to teach an individual the skills necessary to succeed in paid community employment. Skill training may include volunteerism, following directions, focusing on tasks, completing tasks, achieving productivity standards and quality results, responding appropriately to supervisors/co-workers, attendance and punctuality, problem solving, safety, mobility, or short term work trials. Training may also address workplace social skills necessary for successful community employment such as appropriate work place attire, hygiene, and interaction with co-workers and supervisors, acceptable work behaviors and other skills such as accessing transportation and connecting to community resources as it relates to obtaining employment. This service should be a pathway towards individualized employment and is dependent on individuals demonstrating progress towards employment over time.

Services may be provided on site or off site in the community. Group job preparation service may include serving up to six individuals at a time. With written approval from the Regional Office Director the group size may be up to eight (8) individuals.

Transportation costs for Job Preparation services are included in the unit rate, but costs for transporting to and from the residence are not included.

Job preparation services must comply with 42 CFR §440.180(c) (2) (i). The need for services must be documented in the individual's plan. Services must be primarily habilitation in nature.
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**
- [x] **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	Community Employment
Agency	Day Habilitation Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Job Preparation

Provider Category:
Agency

Provider Type:
Community Employment

Provider Qualifications

License *(specify)*:
9 CSR 30-5.050

Certificate *(specify)*:
9 CSR 45-5.010 certification; CARF or CQL accreditation

Other Standard *(specify)*:
DMH Contract;
Staff qualifications are in DMH contract and are summarized as follows:
Must be 18 years of age; have a high school diploma or its equivalent; training in preventing, detecting, and reporting of abuse and neglect prior to providing direct care; training in the implementation of each individual's service plan within one month of employment; training in positive behavior support curriculum approved by the Division of DD within 3 months of employment. Additionally staff administering medication and/or supervising self-administration of meds must have successfully met the requirements of 9 CSR 45-3.070.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concern

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Job Preparation

Provider Category:
Agency

Provider Type:
Day Habilitation Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
Certified by DMH under 9 CSR 45-5.010; Accredited by the CARF in the area of Personal, Social and Community Services; or Accredited by CQL

Other Standard *(specify)*:
DMH Contract;
Staff qualifications are in DMH contract and are summarized as follows:
Must be 18 years of age; have a high school diploma or its equivalent; training in

preventing, detecting, and reporting of abuse and neglect prior to providing direct care; training in the implementation of each individual's service plan within one month of employment; training in positive behavior support curriculum approved by the Division of DD within 3 months of employment. Additionally staff administering medication and/or supervising self-administration of meds must have successfully met the requirements of 9 CSR 45-3.070.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Office

Frequency of Verification:

Prior to contract approval or renewal; as needed based on service monitoring concern

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Personal Care

Alternate Service Title (if any):

Personal Assistant

Service Definition *(Scope):*

Personal Assistant Services include assistance with any activity of daily living (ADL) or instrumental activity of daily living (IADL). Assistance for ADLs includes bathing, toileting, transfer and ambulation, skin care, grooming, dressing, extension of therapies and exercise, care of adaptive equipment, meal preparation, feeding, and incidental household cleaning and laundry. IADLs include shopping, banking, budgeting, using public transportation, social interaction, recreation, and leisure activities. Assistance with IADLs includes accompaniment, cueing and minor problem-solving necessary to achieve increased independence, productivity and inclusion in the community. While ordinarily provided on a one-to-one basis, personal assistance may include assisting up to three (3) individuals at a time. With written approval from the Regional Office Director personal assistant services may be delivered to groups of four (4) to six (6) persons when it is determined the needs of each person in the group can be safely met.

Personal assistance may also include general supervision and protective oversight, which may be provided through remote monitoring technology covered under the Assistive Technology service also in this waiver. The personal assistant may directly perform some activities and support the individual in learning how to perform others; the planning team determines the composition of the service and assures it does not duplicate, nor is duplicated by, any other service provided to the individual.

For self-directed supports Team Collaboration allows the individual's employees to participate in the service plan and to meet as a team to ensure consistency in its implementation. A team meeting also can be convened by the individual or their designated representative for the purposes of discussing specific needs of the individual, the individualized progress towards outcomes, and other related concerns. Team collaboration can be included in the individual budget up to 120 hours per plan year.

For agency-based personal assistant services, team collaboration is included in the unit rate.

Relatives as Providers

Personal assistant services shall not be provided by an individual's spouse, if the individual is a minor (under age 18) by a parent, or legal guardian. Personal assistant services may otherwise be provided to a person by a member(s) of his or her family when the person is not opposed to the family member providing the service and the service to be provided does not primarily benefit the family unit, is not a household task family members

expect to share or do for one another when they live in the same household, and otherwise is above and beyond typical activities family members provide for another adult family member without a disability.

In case of a paid family member the service plan must reflect:
• The individual is not opposed to the family member providing services;
• The services to be provided are solely for the individual and not task household tasks expected to be shared with people living in family unit;
• The planning team determines the paid family member providing the service best meet the individual's needs;
• A family member will only be paid for the hours authorized in the service plan and at no time can these exceed 40 hours per week. Any support provided above this amount would be considered a natural support or the unpaid care that a family member would typically provide

Family is defined as: A family member is defined as a parent, step parent; sibling; child by blood, adoption, or marriage; spouse; grandparent; or grandchild.

Family members approved to provide personal assistant services may be employed by an agency or employed by the individual/guardian or designated representative using an approved fiscal management service provider. If the person employs his/her own workers using an approved fiscal management service provider, the family member serving as a paid personal assistant shall not also be the designated representative/common law employer.

Relation to State Plan Personal Care Services
Personal care services under the state plan differ in service definition, in limitations of amount and scope, and in provider type and requirements from personal assistant services under the waiver. When an individual's need for personal assistance is strictly related to ADLs and can be met through the MO HealthNet state plan personal care program administered by the Division of Senior and Disability Services (DSDS), he or she will not be eligible for personal assistant services under the waiver, in accordance with the requirement that state plan services must be exhausted before waiver services can be provided.

DD Waiver personal assistant may be authorized when:
•State plan limits on number of units for personal care are reached and more assitance with ADLs and/or IADLs is needed;
• Person requires personal assistance at locations outside of their residence;
• The individual has behavioral or medical needs, and they require a more highly trained personal assistant than is available under state plan.
• When the personal assistant worker is related to the participant;
• When the participant or family is directing the service through the FMS contractor.

When waiver personal assistant is authorized to adults also eligible for state plan personal care, the service coordinator must consult and coordinate the waiver service plan with the DSDS service authorization system.

Personal care services are provided to children with disabilities according to the federal mandates of the Early Periodic Screening, Diagnosis and Treatment program. Personal Assistant needs for the eligible person through EPSDT, as applicable, shall first be accessed and utilized, in accordance with the requirement that state plan services must be exhausted before waiver services can be provided. Personal Assistant services through EPSDT for eligible persons under age 21 shall be provided and exhausted first before the waiver Personal Assistant service is provided. State plan personal care services for children are coordinated through the Bureau of Special Health Care Needs (BSHCN).

When waiver personal assistant is authorized for children also eligible for state plan personal care, the service coordinator must consult and coordinate with the BSHCN service authorization system.

Non-Duplication of Services
Personal Assistant services shall not duplicate other services.

Personal Assistant Qualifications and Training
Training will cover, at a minimum:

a. Training, procedures and expectations related to the personal assistant in regards to following and implementing the individual's Service Plan.
b. The rights and responsibilities of the employee and the individual, procedures for billing and payment,

reporting and documentation requirements, procedures for arranging backup when needed, and who to contact within the Regional Office or Targeted Case Management entity.
c. Information about the specific condition and needs of the person to be served, including his or her physical, psychological or behavioral challenges, his or her capabilities, and his or her support needs and preferences related to that support.

d. Training in abuse/neglect, event reporting, and confidentiality.
e. Duties of the Personal Assistant will not require skills to be attained from the training requirement;
f. CPR and first aid;
g. Medication Administration;
h. Behavioral Intervention Training As needed, due to challenging behavior by the Individual, the assistant will also be trained in behavioral intervention techniques such as NCI (Nonviolent Crisis Intervention), MANDT, or others approved by the Division of DD;
i. training in communications skills; in understanding and respecting Individual choice and direction; cultural and ethnic diversity, personal property and familial and social relationships; in handling conflict and complaints;
j. Training in assisting with activities of daily living and instrumental activities of daily living, as needed by the individual to be served and indentified by the team.

For SDS The planning team will specify the qualifications and training the personal assistant will need in order to carry out the service plan, where/by whom the assistant will be trained, and the source, method and degree of monitoring but not less than quarterly. To the extent they desire, the individual or designated representative will select the personal assistant and carry out training and supervision.
Individual/guardian or designated representative may exempt the following trainings if:
a. Duties of the Personal Assistant will not require skills to be attained from the training requirement;
b. The personal assistant named above has adequate knowledge or experience in:
• CPR and first aid;
• Medication Administration;
• Behavioral Intervention Training As needed, due to challenging behavior by the Individual, the assistant will also be trained in behavioral intervention techniques such as NCI (Nonviolent Crisis Intervention), MANDT, or others approved by the Division of DD;
• As needed, training in communications skills; in understanding and respecting Individual choice and direction; cultural and ethnic diversity, personal property and familial and social relationships; in handling conflict and complaints;
• Training in assisting with activities of daily living and instrumental activities of daily living, as needed by the individual to be served and indentified by the team.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
When this service is provided to minor children living with their parents or guardians, it shall not supplant the cost and provision of support ordinarily provided by parents to children without disabilities, nor shall it supplant educationally related services and support that is the responsibility of local education authorities. Otherwise, the only limitation on hours provided is the individual's need for the service as an alternative to institutional care and the overall cost effectiveness of his or her service plan. Personal Assistant can occur in the person's home and/or community, including the work place. Personal Assistant shall not be provided concurrently with or as a substitute for facility-based day habilitation services.

Payment is on a 15 minute, fee for service basis, with different rates for individual and small group services, and, when needed, for enhanced staff qualifications.

Personal Assistant services through EPSDT for eligible persons under age 21 shall be provided and exhausted first before the waiver Personal Assistant service is provided. Children have access to EPSDT services.

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

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [ ] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Day Habilitation Services
Agency	A Medicaid-enrolled provider of personal care services
Individual	Employee of Consumer/Family
Individual	Relative Employed by Consumer/Family
Individual	Independent Contractor
Agency	Individualized Supported Living Services

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistant

Provider Category:
Agency
Provider Type:
Day Habilitation Services
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:
DMH Certification for day hab; or CARF/CQL/the Joint Commission accredited for day hab
Other Standard *(specify)*:
DMH Contract;
The agency-based provider of personal assistance must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the plan.
Verification of Provider Qualifications
Entity Responsible for Verification:
Agency verifies qualification of relatives employed by agencies; oversight by Regional Office
Frequency of Verification:
Agency verifies upon hiring and as needed based on supervision; regional office monitors provider annually

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistant

Provider Category:
Agency
Provider Type:
A Medicaid-enrolled provider of personal care services
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract; DMS Medicaid Personal Care Enrollment;
The agency-based provider of personal assistance must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the plan.

Verification of Provider Qualifications

Entity Responsible for Verification:
Agency verifies qualifications of personal assistant; oversight by Regional Office staff

Frequency of Verification:
Agency verifies upon hiring and as needed based on supervision; regional office monitors provider annually

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistant

Provider Category:
Individual

Provider Type:
Employee of Consumer/Family

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Age 18; meets minimum training requirements; agreement with REgional office; agreement with consumer/family;
Planning team will specify the qualifications and training the personal assistant will need in order to carry out the service plan;
Supervision is provided by the consumer, family or a designated support broker in providing service in the home or community consistent with the person's service plan

Verification of Provider Qualifications

Entity Responsible for Verification:
Family; Regional Office has oversight

Frequency of Verification:
Prior to signed agreement with regional office and consumer/family; service review as needed based on service monitoring concerns; as consumer's needs change

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistant

Provider Category:
Individual

Provider Type:

Relative Employed by Consumer/Family
Provider Qualifications
License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*
Age 18; meets minimum training requirements; agreement with Division RO; agreement with consumer/family;
Shall not be the consumer's spouse; a parent of a minor child (under age 18); a legal guardian; nor the employer of record for the consumer.

The individual shall not be opposed to the family member providing care.

The planning team agrees the family member providing the personal assistant service will best meet the individual's needs.

Family members employed by the consumer or designated representative are supervised by the consumer or a designated representative in providing service in the home or community consistent with the service plan.

Family members employed by an agency are supervised by the agency.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional Office staff
Frequency of Verification:
Prior to signed agreement with regional office and consumer/ designated representative; service review as needed based on service monitoring concerns; as consumer needs change

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistant

Provider Category:
Individual
Provider Type:
Independent Contractor
Provider Qualifications
License *(specify):*
Missouri State professional license such as RN or LPN,
Certificate *(specify):*

Other Standard *(specify):*
DMH Contract;
Shall not be the consumer's spouse; a parent of a minor child (under age 18); nor a legal guardian
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional office staff
Frequency of Verification:
Prior to signed contract; as needed based on service monitoring concerns and as consumer needs change

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistant

Provider Category:
Agency

Provider Type:
Individualized Supported Living Services

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
DMH Certification for ISL or CARF/CQL/Joint Commission accredited for ISL services

Other Standard *(specify)*:
DMH Contract;
The agency-based provider of personal assistance must be trained and supervised in accordance with the certification or program enrollment requirements that apply, but must include at least the minimum training specified for the individual provider; the planning team may specify additional qualifications and training necessary to carry out the service plan.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

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

Service Definition *(Scope)*:
This service includes Personal Emergency Response Systems (PERS), Medication Reminder Systems (MRS) and other electronic technology that protects the health and welfare of a participant. This service may also include electronic surveillance/monitoring systems using video, web-cameras, or other technology. However, use of such systems may be subject to human rights review. Assistive technology shall not include household appliances or items that are intended for purely diversional or recreational purposes. Assistive technology should be evidenced based, and shall not be experimental.

Electronic surveillance/monitoring systems using video, web-cameras, or other technology is only available on an individual, case-by-case basis when an individual requests the service and the planning team agrees it is appropriate and meets the health and safety needs of the individual. Remote monitoring technology may only be used with full consent of the individual and their guardian and with written approval by the human rights committee (HRC).

Remote monitoring will enable a person to be more independent and less reliant on staff to be physically present with them at all times, in particular for night time supports.

The type of equipment and where monitors are placed will depend upon the needs and wishes of the individual and their guardian (if applicable), and will also depend upon the particular company selected by the individual or guardian to provide the equipment. The installation of video monitoring equipment in the home will be done at the direction of the individual. If the home is shared with others the equipment will be installed in such a manner that it does not invade others' privacy. The mainframe is housed at the provider's service location. The remote monitoring device is controlled by the waiver participant and can be turned on or off as needed.

The provider must have safeguards and/or backup system such as battery and generator for the electronic devices in place at the monitoring base and the participant's residential living site(s) in the event of electrical outages. The provider must have backup procedures for system failure (e.g., prolonged power outage), fire or weather emergency, participant medical issue or personal emergency in place and detailed in writing for each site utilizing the system as well as in each participant's ISP. The ISP must specify the individuals to be contacted by monitoring base staff who will be responsible for responding to these situations and traveling to the participant's living site(s). In situations requiring a person to respond to the participant's residence, the response time should not exceed 20 minutes. In emergency situations, monitoring staff should call 911.

Waiver participants interested in electronic surveillance/remote monitoring technology must be assessed for risk following the division's risk assessment guidelines posted at http://dmh.mo.gov/docs/dd/riskguide.pdf and must be be provided information to ensure an informed choice about the use of remote monitoring equipment versus in-person support staff.

Monitoring is performed by on-duty personal assistants. The personal assistant may be employed by an agency, by the participant or their designated representative.

Personal Emergency Response System (PERS) is an electronic device that enables an individual at high risk of institutionalization to secure help in an emergency that is connected to a device and programmed to signal a response center once the help button is activated. The response center is staffed with trained professionals. The service is limited to those who live alone, live with others who are unable to summon help, or who are alone for significant portions of the day, have no regular caregiver for extended periods of time and would otherwise require extensive routine supervision.

A medication reminder system (MRS) is an electronic device programmed to provide a reminder to a participant when Medications are to be taken. The reminder may be a phone ring, automated recording or other alarm. This device is for individuals who have been evaluated as able to self administer medications with a reminder. The electronic device may dispense controlled dosages of medication and may include a message back to the center if a medication has not been removed from the dispenser. Medications must be set-up by an RN or professional qualified to set-up medications in the State of Missouri.

All electronic device vendors must provide equipment approved by the Federal Communications Commission and the equipment must meet the Underwriters Laboratories, Inc., (UL) standard for home health care signaling equipment. The UL listing mark on the equipment will be accepted as evidence of the equipment's compliance with such standard.

The emergency response activator must be able to be activated by breath, by touch, or some other means and must be usable by persons who are visually or hearing impaired or physically disabled.

Any assistive technology device must not interfere with normal telephone use.

The PERS and MRS must be capable of operating without external power during a power failure at the recipient's home in accordance with UL requirements for home health care signaling equipment with stand-by capability and must be portable.

An initial installation fee is covered as well as ongoing monthly rental charges and upkeep and maintenance of the devices.

Any assistive technology devices authorized under this service shall not duplicate services otherwise available through state plan.

MRS and PERS are just two of many different types of assistive technology. More examples of assistive technology that can enable people to be less dependent upon direct human assistance include but are not limited to electronic motion sensor devices, door alarms, web-cams, telephones with modifications such as large buttons, telephones with flashing lights, phones equipped with picture buttons programmed with that person's phone number, devices that may be affixed to a wheelchair or walker to send an alert when someone falls (these may be slightly different than a PERS) text-to-speech software, devices that enhance images for people with low vision, intercom systems.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Costs are limited to $3,000 per year, per individual. The annual limit corresponds to the waiver year, which begins July 1 and ends June 30 each 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	Electronic Communication Equipment and Monitoring Company

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:
Electronic Communication Equipment and Monitoring Company

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
The monitoring agency must be capable of simultaneously responding to multiple signals for help from clients' PERS equipment. The monitoring agency's equipment must include a primary receiver, a stand-by information retrieval system and a separate telephone service, a stand-by receiver, a stand-by back up power supply, and a telephone line monitor. The primary receiver and back-up receiver must be independent and interchangeable. The clock printer must print out the time and date of the emergency signal, the PERS client's Medical identification code (PIC) and the emergency code that indicates whether the signal is active, passive, or a responder test. The telephone line monitor must give visual and audible signals when an incoming telephone line is disconnected for more than 10 seconds. The monitoring agency must maintain detailed technical and operations manuals that describe PERS elements including PERS equipment installation, functioning and testing; emergency response protocols; and record keeping and reporting procedures.

DMH Contract.

Registered and in good standing with the Missouri Secretary of State.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Offices

Frequency of Verification:

Prior to contract approval or renewal; service review every 2 years; as needed based on service monitoring concerns

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:

Behavior Analysis Service

Service Definition *(Scope):*

This service is designed to help individuals demonstrating significant deficits (challenges) in the areas of behavior, social, and communication skills acquire functional skills in their homes and communities and/or to prevent hospitalizations or out-of-home placements. Behavior Analysis services may be provided to assist a person or persons to learn new behavior directly related to existing challenging behaviors or functionally equivalent replacement behaviors for identified challenging behaviors. Services may also be provided to increase existing behavior, to reduce existing behavior, and to emit behavior under precise environmental conditions. Behavior analysis includes the design, implementation and evaluation of systematic environmental modifications for the purposes of producing socially significant improvements in and understanding of human behavior based on the principles of behavior identified through the experimental analysis of behavior.

• An individual's Behavior Analysis Services are based on the Functional Behavioral Assessment which identifies functional relationships between behavior and the environment including contextual factors, establishing operations, antecedent stimuli, contributing and controlling consequences, and possible physiological or medical variables related to the challenging behavior or situations.
• The plan should describe strategies and procedures to generalize and maintain the effects of the behavior support plan and to collect data to assess the effectiveness of the plan and fidelity of implementation of the plan.
• The specific skills and behaviors targeted for each individual should be clearly defined in observable terms and measured carefully by direct observation each session.
• The service shall include monitoring of data from continuous assessment of the individual's skills in learning, communication, social competence, and self-care guide to the scope of the individual support plan, which must include separate, measurable goals and objectives with clear definitions of what constitutes mastery.
• Data should be displayed in graphic format with relevant environmental variables that might affect the target behaviors indicated on the graph. The graph should provide indication of analysis via inclusion of environmental variables including medications and changes in medications, baseline or pre- intervention levels of behavior, and strategy changes.
• Performance based training for parents, caregivers and significant others in the person's life is also part of the behavior analysis services if these people are integral to the implementation or monitoring of the plan.

Senior Behavior Consultant and Behavior Intervention Specialist may be authorized in conjunction with a Functional Behavioral Assessment (FBA), which is a separate service, cost and code. The purpose of the FBA is to gather information in the form of data from descriptive assessment, observation and/or systematic manipulation of environmental variables, written and oral history of the individual. The information from the FBA should lead to identification of possible controlling and contributing variables, and possible proactive,

preventative and reactive strategies for the identified challenges of the individual referred for Behavior Analysis Services.

NOTE: The Behavior Analysis Service is not intended to be an ongoing service. The following guidance shall be used when submitting authorizations to the Utilization Review Committee: Initial authorization for Behavior Analysis Service may not exceed 180 days,
• One subsequent authorization for Behavior Analysis Service may be approved, not to exceed an additional 90 days,
• Additional authorizations for Behavior Analysis Service must be approved by the Division Deputy Director or Assistant Director.

Behavior Analysis Service may be authorized concurrent with Person Centered Strategies Consultation if working in conjunction with this service to support improved quality of life as foundation for behavioral services.

Senior Behavior Consultant:
The service consists of design, monitoring, revision and/or brief implementation of 1:1 behavioral interventions described in the individual's behavior support plan.

The service is designed to be utilized for situations involving complex behavioral issues such as severe aggression or self injury or when multiple behavioral challenges have been identified, many interventions have been unsuccessful or the challenges have a long history of occurrence. The Behavior Analysis service provides advanced expertise and consultation at critical points in the service delivery to achieve specific ends in the service delivery process such as assess a complex problem behavior, problem solve the lack of progress, or regression in the intervention. Ongoing management of behavior analysis services might generally be provided by the Behavior Intervention Specialist. Evaluation of these data is used to revise the individual's support plan and accompanying services to ensure the best outcome for the individual. Implementation of the behavior support plan may occur with all levels of this service, i.e., with the Behavior Intervention Specialist, with personal assistants, and/or with the family members.

Behavior Intervention Specialist:
Provides ongoing management of behavior analysis services. In more complex or involved situations the Behavior Intervention Specialist is responsible for managing the direct implementation of the recommendations and strategies of a Behavior Analysis service, participating in the development of the behavior support plan and document as a team participant. In these more complex cases the Behavior Intervention Specialist serves as a "bridge" between the Senior Behavior Consultant and the other service providers and family and supports of the individual receiving services. In cases which do not require the advanced services of a Senior Behavior Consultant the Behavior Intervention Specialist may provide the Functional Behavioral Assessment and Behavioral Services without the oversight of a Senior Behavior Consultant except as required by licensure law and professional standards (BCABA practice standards require supervision by a BCBA). At a minimum, the Behavior Intervention Specialist will provide face-to-face in-home training on the behavior support plan to families and/or primary caregivers who have responsibility for implementing the behavior support plan in the home or community setting. This shall include training for meals, hygiene, school and/or community activities, and evenings and weekends noted in the behavior support plan as particularly challenging. Ongoing management of a behavior support plan is a key role for a Behavior Intervention Specialist. Ongoing management involves collecting and analyzing data for the effectiveness of the behavior support plan, fidelity of implementation of the behavior support plan and reliability of the data, adjustment or revision of the strategies identified in the behavior support plan, training caregivers and family members on the implementation of the behavior support plan, and on occasion implementation of the behavior support plan when complicated techniques are involved or for short trial periods to determine if the plan is viable and as part of the training of the main implementers for the behavior support plan.

Functional Behavioral Assessment:
Functional Behavioral Assessment is a comprehensive and individualized strategy to identify the purpose or function of an individual's behavior, develop and implement a plan to modify variables that maintain the problem behavior, and teach appropriate replacement behaviors using positive interventions. The Functional Behavioral Assessment (FBA) which identifies functional relationships between behavior and the environment including contextual factors, establishing operations, antecedent stimuli, contributing and controlling consequences, and possible physiological or medical variables related to the challenging behavior or situations. The FBA provides information necessary to develop strategies and recommendations to proactively address the challenging behaviors through skill development, prevention of problem situations and contributing reactions

and interactions with significant persons in the life of the individual. These recommendations and strategies are more thoroughly delineated in the person's behavior support plan.

The process of the FBA includes gathering a written and oral history of the individual including data, interview of significant individuals who have been involved with the person during times of challenging behaviors as well as times when the person does not have challenging behaviors, observation of the person in a variety of situations, data collection and review, and for the most complex behaviors and situations a systematic manipulation of possible controlling and contributing variables. This information gathering process should lead to identification of possible controlling and contributing variables, and possible proactive, preventative and reactive strategies for the identified challenges of the individual referred for Behavior Analysis Services.

There will be situations in which an assessment will be needed to determine if other services or if behavior services might be appropriate. Not every instance of assessment will lead to behavioral services. If changes in situations occur, a new assessment may be warranted.

The FBA differs significantly from the Level of Care (LOC) assessment. The Level of Care assessment is performed by a service coordinator, also known as a case manager of Targeted Case Management services under 1915(g) of the Medicaid State Plan. LOC assessments are used strictly to determine an individual's eligibility for waiver services in accordance with 42 CFR Section 441.302(c) and detailed in Appendix B-6 of this waiver application.

Service coordinators (TCM case managers) conducting LOC assessments are required to have the following minimum education and experience:

1. One or more years of professional experience as (a) a registered nurse, (b) in social work special education, psychology, counseling, vocational rehabilitation, physical therapy, occupational therapy, or speech therapy or a closely related area, or (c) in providing direct care to people with DD; AND
2. A bachelor's degree from an accredited college or university with a minimum of 24 semester hours or 36 quarter hours of credit in one or a combination of human service field specialties. Additional experience as a registered nurse may substitute on a year for year basis for a maximum of two years of required education.

These requirements are the same as are required for the Missouri state merit position of Case Manager I. Anyone who has worked for the state as a Case Manager I, or who is on the register for Case Manager I is considered to have met the requirements as a TCM Case manager, also called a service coordinator.

The FBA is a diagnostic assessment. Behavior analysts (including both senior consultant and behavior intervention specialist) conducting the FBA must be licensed in the State of Missouri (20 CSR 2063-4.005; 20 CSR 2063-5.010).

While information included in the FBA may be used to inform the LOC assessment, the FBA itself cannot substitute for the LOC assessment. Information included in the LOC assessment may also be reviewed and considered by the behavior analyst while conducting a FBA, however an LOC assessment cannot substitute for the FBA assessment.

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

Functional Behavioral Assessments are limited to every two years unless the individual's behavior support plan documents substantial changes: to the individual's circumstances (living arrangements, school, caretakers); in the individual's skill development; in the performance of previously established skills; or in frequency, intensity or types of challenging behaviors. A Behavior Intervention Specialist, may under the direction of a Senior Behavior Consultant, conduct the data gathering for a functional assessment, however the final interpretation and recommendations must be the work of the Senior Behavior Consultant.

This service is not restricted by the age of the individual; however, it may not replace educationally-related services provided to individuals when the service is available under IDEA or other sources covered under an Individualized Family Service Plan (IFSP) through First Steps or otherwise available.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	Senior Behavior Consultant--Masters
Agency	Senior Behavior Consultant--Doctorate
Individual	Senior Behavior Consultant-Masters
Agency	Behavior Intervention Specialist
Individual	Senior Behavior Consultant--Doctorate
Individual	Behavior Intervention Specialist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavior Analysis Service

Provider Category:
Agency

Provider Type:
Senior Behavior Consultant--Masters

Provider Qualifications

License *(specify)*:
Missouri State license as a Behavior Analyst or a licensed professional in psychology, social work or professional counseling with training specific to behavior analysis. RsMo Chapter 337 and 376 specifically 337.300; 337.305; 337.310; 337.315; 337.320; 337.325; 337.330; 337.335; 337.340; 337.345; 376.1224

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract;
No persons shall practice applied behavior analysis unless they are:
(1) Licensed behavior analysts;
(2) Licensed assistant behavior analysts working under the supervision of a licensed behavior analyst;
(3) An individual who has a bachelor's or graduate degree and completed course work for licensure as a behavior analyst and is obtaining supervised field experience under a licensed behavior analyst pursuant to required supervised work experience for licensure at the behavior analyst or assistant behavior analyst level; or
4) Licensed psychologists practicing within the rules and standards of practice for psychologists in the state of Missouri and whose practice is commensurate with their level of training and experience.

A registered line therapist, under the direct supervision of a licensed behavior analyst, may:
(a) Provide general supervision of an individual diagnosed with a pervasive developmental disorder diagnosis and other neurodevelopmental disorders, or serve as a line therapist under the supervision of a licensed behavior analyst;
(b) Provide protective oversight of the individual; and
(c) Implement specific behavioral interventions, including applied behavior analysis, as outlined in the behavior plan;

Any licensed healthcare professional may practice a component of applied behavior analysis, as defined in the Revised Statues of Missouri, Chapter 337.300 or serves as a line therapist under the supervision of a licensed behavior analyst, if he or she is acting within his or her applicable scope of practice and ethical guidelines.

Verification of Provider Qualifications

Entity Responsible for Verification:

Division of Developmental Disability Regional Offices

Frequency of Verification:

Initally and annually thereafter

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavior Analysis Service

Provider Category:

Agency

Provider Type:

Senior Behavior Consultant--Doctorate

Provider Qualifications

License *(specify)*:

Missouri State license as a Behavior Analyst or a licensed professional in psychology, social work or professional counseling with training specific to behavior analysis. RsMo Chapter 337 and 376 specifically 337.300; 337.305; 337.310; 337.315; 337.320; 337.325; 337.330; 337.335; 337.340; 337.345; 376.1224

Certificate *(specify)*:

Other Standard *(specify)*:

DMH Contract;
No persons shall practice applied behavior analysis unless they are:
(1) Licensed behavior analysts;
(2) Licensed assistant behavior analysts working under the supervision of a licensed behavior analyst;
(3) An individual who has a bachelor's or graduate degree and completed course work for licensure as a behavior analyst and is obtaining supervised field experience under a licensed behavior analyst pursuant to required supervised work experience for licensure at the behavior analyst or assistant behavior analyst level; or
4) Licensed psychologists practicing within the rules and standards of practice for psychologists in the state of Missouri and whose practice is commensurate with their level of training and experience.

A registered line therapist, under the direct supervision of a licensed behavior analyst, may:
(a) Provide general supervision of an individual diagnosed with a pervasive developmental disorder diagnosis and other neurodevelopmental disorders, or serve as a line therapist under the supervision of a licensed behavior analyst;
(b) Provide protective oversight of the individual; and
(c) Implement specific behavioral interventions, including applied behavior analysis, as outlined in the behavior plan;

Any licensed healthcare professional may practice a component of applied behavior analysis, as defined in the Revised Statues of Missouri, Chapter 337.300 or serves as a line therapist under the supervision of a licensed behavior analyst, if he or she is acting within his or her applicable scope of practice and ethical guidelines.

Verification of Provider Qualifications

Entity Responsible for Verification:

Division of Developmental Disability Regional Offices

Frequency of Verification:

Initially and annually thereafter

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavior Analysis Service

Provider Category:
Individual

Provider Type:
Senior Behavior Consultant-Masters

Provider Qualifications

License *(specify)*:
Missouri State license as a Behavior Analyst, or a licensed professional in psychology, social work or professional counseling with training specific to behavior analysis. RsMo Chapter 337 and 376 specifically 337.300; 337.305; 337.310; 337.315; 337.320; 337.325; 337.330; 337.335; 337.340; 337.345; 376.1224

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract;
No persons shall practice applied behavior analysis unless they are:
(1) Licensed behavior analysts;
(2) Licensed assistant behavior analysts working under the supervision of a licensed behavior analyst;
(3) An individual who has a bachelor's or graduate degree and completed course work for licensure as a behavior analyst and is obtaining supervised field experience under a licensed behavior analyst pursuant to required supervised work experience for licensure at the behavior analyst or assistant behavior analyst level; or
4) Licensed psychologists practicing within the rules and standards of practice for psychologists in the state of Missouri and whose practice is commensurate with their level of training and experience.

A registered line therapist, under the direct supervision of a licensed behavior analyst, may:
(a) Provide general supervision of an individual diagnosed with a pervasive developmental disorder diagnosis and other neurodevelopmental disorders, or serve as a line therapist under the supervision of a licensed behavior analyst;
(b) Provide protective oversight of the individual; and
(c) Implement specific behavioral interventions, including applied behavior analysis, as outlined in the behavior plan;

Any licensed healthcare professional may practice a component of applied behavior analysis, as defined in the Revised Statues of Missouri, Chapter 337.300 or serves as a line therapist under the supervision of a licensed behavior analyst, if he or she is acting within his or her applicable scope of practice and ethical guidelines.

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of Developmental Disability Regional Office

Frequency of Verification:
Initially and annually thereafter

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavior Analysis Service

Provider Category:

Agency

Provider Type:
Behavior Intervention Specialist
Provider Qualifications
License *(specify)*:
Missouri state licensure as a Licensed Assistant Behavior Analyst or a licensed professional in psychology, social work or professional counseling with training specific to behavior analysis. RsMo Chapter 337 and 376 specifically 337.300; 337.305; 337.310; 337.315; 337.320; 337.325; 337.330; 337.335; 337.340; 337.345; 376.1224.

The BIS provider must have a bachelor's degree and be working on a master's degree in behavior analysis; or have a master's degree and be completing licensure requirements for the behavior analyst

This service may be provided by individuals who have completed coursework for behavior analyst licensure and working under the supervision of a Licensed Behavior Analyst; Or completing the practicum work experience under the supervision of a Licensed Behavior Analyst.
Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract;
No persons shall practice applied behavior analysis unless they are:
(1) Licensed behavior analysts;
(2) Licensed assistant behavior analysts working under the supervision of a licensed behavior analyst;
(3) An individual who has a bachelor's or graduate degree and completed course work for licensure as a behavior analyst and is obtaining supervised field experience under a licensed behavior analyst pursuant to required supervised work experience for licensure at the behavior analyst or assistant behavior analyst level; or
4) Licensed psychologists practicing within the rules and standards of practice for psychologists in the state of Missouri and whose practice is commensurate with their level of training and experience.

A registered line therapist, under the direct supervision of a licensed behavior analyst, may:
(a) Provide general supervision of an individual diagnosed with a pervasive developmental disorder diagnosis and other neurodevelopmental disorders, or serve as a line therapist under the supervision of a licensed behavior analyst;
(b) Provide protective oversight of the individual; and
(c) Implement specific behavioral interventions, including applied behavior analysis, as outlined in the behavior plan;

Any licensed healthcare professional may practice a component of applied behavior analysis, as defined in the Revised Statues of Missouri, Chapter 337.300 or serves as a line therapist under the supervision of a licensed behavior analyst, if he or she is acting within his or her applicable scope of practice and ethical guidelines.
Verification of Provider Qualifications
Entity Responsible for Verification:
Division of Developmental Disability Regional Office
Frequency of Verification:
Initially and annually thereafter

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavior Analysis Service

Provider Category:

Individual

Provider Type:
Senior Behavior Consultant--Doctorate
Provider Qualifications
License *(specify)*:
Missouri state license as a Behavior Analyst or a licensed professional in psychology, social work or professional counseling with training specific to behavior analysis. RsMo Chapter 337 and 376 specifically 337.300; 337.305; 337.310; 337.315; 337.320; 337.325; 337.330; 337.335; 337.340; 337.345; 376.1224
Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract;
No persons shall practice applied behavior analysis unless they are:
(1) Licensed behavior analysts;
(2) Licensed assistant behavior analysts working under the supervision of a licensed behavior analyst;
(3) An individual who has a bachelor's or graduate degree and completed course work for licensure as a behavior analyst and is obtaining supervised field experience under a licensed behavior analyst pursuant to required supervised work experience for licensure at the behavior analyst or assistant behavior analyst level; or
4) Licensed psychologists practicing within the rules and standards of practice for psychologists in the state of Missouri and whose practice is commensurate with their level of training and experience.

A registered line therapist, under the direct supervision of a licensed behavior analyst, may:
(a) Provide general supervision of an individual diagnosed with a pervasive developmental disorder diagnosis and other neurodevelopmental disorders, or serve as a line therapist under the supervision of a licensed behavior analyst;
(b) Provide protective oversight of the individual; and
(c) Implement specific behavioral interventions, including applied behavior analysis, as outlined in the behavior plan;

Any licensed healthcare professional may practice a component of applied behavior analysis, as defined in the Revised Statues of Missouri, Chapter 337.300 or serves as a line therapist under the supervision of a licensed behavior analyst, if he or she is acting within his or her applicable scope of practice and ethical guidelines.
Verification of Provider Qualifications
Entity Responsible for Verification:
Division of Developmental Disabilities Regional Offices
Frequency of Verification:
Initially and annually thereafter

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Behavior Analysis Service

Provider Category:
Individual

Provider Type:
Behavior Intervention Specialist
Provider Qualifications
License *(specify)*:
Missouri State license as an Assistant Behavior Analyst or a licensed professional in psychology, social work or professional counseling with training specific to behavior analysis. RsMo Chapter 337 and 376 specifically 337.300; 337.305; 337.310; 337.315; 337.320; 337.325; 337.330; 337.335;

337.340; 337.345; 376.1224.
The BIS provider must have a bachelor's degree and be working on a master's degree in behavior analysis; or have a master's degree and be completing licensure requirements for the behavior analyst.
This service may be provided by individuals who have completed coursework for behavior analyst licensure and working under the supervision of a Licensed Behavior Analyst; Or completing the practicum work experience under the supervision of a Licensed Behavior Analyst.
Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract;
No persons shall practice applied behavior analysis unless they are:
(1) Licensed behavior analysts;
(2) Licensed assistant behavior analysts working under the supervision of a licensed behavior analyst;
(3) An individual who has a bachelor's or graduate degree and completed course work for licensure as a behavior analyst and is obtaining supervised field experience under a licensed behavior analyst pursuant to required supervised work experience for licensure at the behavior analyst or assistant behavior analyst level; or
4) Licensed psychologists practicing within the rules and standards of practice for psychologists in the state of Missouri and whose practice is commensurate with their level of training and experience.

A registered line therapist, under the direct supervision of a licensed behavior analyst, may:
(a) Provide general supervision of an individual diagnosed with a pervasive developmental disorder diagnosis and other neurodevelopmental disorders, or serve as a line therapist under the supervision of a licensed behavior analyst;
(b) Provide protective oversight of the individual; and
(c) Implement specific behavioral interventions, including applied behavior analysis, as outlined in the behavior plan;

Any licensed healthcare professional may practice a component of applied behavior analysis, as defined in the Revised Statues of Missouri, Chapter 337.300 or serves as a line therapist under the supervision of a licensed behavior analyst, if he or she is acting within his or her applicable scope of practice and ethical guidelines.

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of Developmental Disability Regional Office
Frequency of Verification:
Initially and annually thereafter

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:
Co-Worker Supports
Service Definition *(Scope)*:
The service allows the Division of DD, designated provider agencies to contract with a business to provide Co-Worker Supports as a part of the natural workplace. The supports will be provided directly to an individual to

assist in the development of positive work-related habits, attitudes, skills and work etiquette directly related to their specific employment, as well as assisting the individual to become a part of the informal culture of the workplace. Co-Worker Supports will include orienting the individual to health and safety aspects/requirements of their particular job. Individuals participating in this service are employed by a business and are paid minimum wage or better.

This service differs from Community Employment in that it creates opportunity for services/supports to be provided by the local business' employee where the individual is employed. A peer employee at a business where the person with a developmental disability is employed will have a better understanding of the businesses culture, the organizational structure, and the informal culture than will the DD professional who provides Community Employment. Receiving mentoring from a fellow employee increases opportunities for acceptance into and thus success in the workplace community.

It is intended to be of short duration.

This service enables a full continuum of job supports that could begin with job preparation, move to job discovery, then community employment with the least intensive support being provided through Co-Worker supports. It is not necessary for an individual to progress along this continuum, however. Depending upon the individual's skills, abilities and needs, identified during the person-centered planning process, they may start at any point, skip steps in the continuum, or transition back into a service where more supports are available.

Throughout the length of a contract, per funding requirements and with the employer's knowledge, the Division of DD or contracted provider performs oversight, just as they do in other waiver services.

This service is over and above the obligations an employer has for an employee without a disability, but does not duplicate nor supplant those provided under the provisions of the Individuals with Disabilities Education Improvement Act, or Section 110 of the Rehabilitation Act of 1973, or the Americans with Disabilities Act.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
An individual may not receive Job Discovery, Job Preparation, or Community Employment, at the same time they receive Co-Worker Supports. Individuals receive Co-Worker Supports services during their first six months of employment. Reimbursement may be extended up to 12 months on the job. After the first six months, the contract is reduced to a lower stabilization rate based on job support intervention needed.

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	Community Employer of Individual Service

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Co-Worker Supports

Provider Category:
Agency
Provider Type:
Community Employer of Individual Service
Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
DMH contract;
To qualify, a description of supports to be provided by the subcontractor must be reviewed and accepted by the personal support team, including the service coordinator and other members designated by the individual, and the individual or his or her legal guardian prior to its execution.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal(annually); as needed based on service monitoring concerns

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:
Communication Skills Instruction

Service Definition *(Scope)*:
Communication Skills Instruction services are intended to train individuals with minimal language skills (MLS) to use systematic communication. Individuals with MLS are deaf persons who know neither English nor American Sign Language (ASL), nor have any other formal communication system. This service is used to help individuals with multiple developmental disabilities communicate with the people around them, a critical skill for community survival and exercising choice and self determination.

Communication skills instruction includes both assessment/evaluation and training. An initial assessment of an individual's communication skills is performed to determine the need for instruction. It measures the number of ASL or home signs used; finger spelling capacity; degree of "parroting;" use of gesture, mime, writing on paper; attention span; facial expressions; and consistency in communication with a variety of others, both deaf and hearing. Evaluation of the outcome of the instruction occurs at six month intervals: this includes evaluation of communication skills in social, vocational and leisure situations, behavioral changes, and need for continued instruction and/or other intervention.

Communication skills instruction includes teaching a new communication system or language or enhancing a deaf individual's established minimal language skills, based on the formal assessment of communication skills. Instruction sessions typically involve the people who support the deaf individual as well as the individual himself. This service is a cost effective alternative to placement in an ICF-MR.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
This service is a cost effective alternative to placement in an ICF-MR. The unit of service is 15 minutes.

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	Communication Skills Instructor

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Communication Skills Instruction

Provider Category:
Individual

Provider Type:
Communication Skills Instructor

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
DMH certified as a Communication Assistant.

Providers must be certified as a Communication Assistant by the Department of Mental Health, Bureau of Deaf Services. Certification is granted based on completion of a prescribed course of study offered through local interpreter training programs or during extended workshops held by the bureau.

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Community Specialist Services

Service Definition *(Scope)*:

A community specialist is used when specialized supports are needed to assist the individual in achieving outcomes in the service plan.

Community specialist services includes professional observation and assessment, individualized program design and implementation and consultation with caregivers. This service may also, at the choice of the individual designated representative, include advocating for the individual, and assisting the individual in locating and accessing services and supports within their field of expertise.

The services of the community specialist assist the individual and the individual's caregivers to design and implement specialized programs to enhance self direction, independent living skills, community integration, social, leisure and recreational skills.

This service shall not duplicate other waiver services including but not limited to: Behavior Analysis or Personal Assistant services.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Community specialist, a direct waiver service, differs in service definition and in limitations of amount and scope from State plan targeted case management for person with developmental disabilities. In the latter, there are waiver administrative functions performed by a service coordinator through state plan TCM that fall outside the scope of community specialist, such as level of care determination, free choice of waiver and provider, due process and right to appeal. Additionally, MO Division of DD service coordinators facilitate services and supports, authorized in the service plan, through the regional office utilization review and authorization process.

A unit of service is 1/4 hour.

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

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [ ] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	State Plan Personal Care Provider
Agency	Day Habilitation
Agency	Individualized Supported Living
Individual	Qualified Community Professional

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Specialist Services

Provider Category:
Agency
Provider Type:
State Plan Personal Care Provider
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract; Agency employs an individual with a Bachelors degree from an accredited university or college plus one year experience, or a Registered Nurse (with an active license in good standing, issued by the Missouri State Board of Nursing), or an Associates degree from an accredited university or college plus three years of experience to direct or consult with its operation; DHSS Medicaid Personal Care Enrollment

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD regional office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Specialist Services

Provider Category:
Agency

Provider Type:
Day Habilitation

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
Certified by DMM under 9 CSR 45-5.010 or accredited by CARF; CQL or the Joint Commission

Other Standard *(specify)*:
DMH Contract; employs an individual with a Bachelors degree from an accredited university or college plus one year experience, or a Registered Nurse (with an active license in good standing, issued by the Missouri State Board of Nursing) or
an Associates degree from an accredited university or college plus three years of experience.

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD regional office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Specialist Services

Provider Category:
Agency

Provider Type:
Individualized Supported Living

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
Certified by DMH under 9 CSR 45-5.010 or accredited by CARF; CQL or the Joint Commission as a lead agency for Individualized Supported Living Services;
Other Standard *(specify)*:
DMH Contract; employs and individual with a Bachelors degree from an accredited university or college plus one year experience, or a Registered Nurse (with an active license in good standing, issued by the Missouri State Board of Nursing) or
an Associates degree from an accredited university or college plus three years of experience.

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD regional office
Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Specialist Services

Provider Category:
Individual

Provider Type:
Qualified Community Professional

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract; An individual with a Bachelors degree from an accredited university or college plus one year experience, or a Registered Nurse (with an active license in good standing, issued by the Missouri State Board of Nursing) or an Associates degree from an accredited university or college plus three years of experience.

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD regional office
Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

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:
Counseling
Service Definition *(Scope)*:
Counseling Services include goal oriented counseling to maximize strengths and reduce behavior problems and/or functional deficits, which interfere with an individual's, personal, familial, and vocational or community adjustment. It can be provided to individuals and families when the consumer is present with the family. This service is not available to children who are eligible for psychology/counseling services reimbursed under the Healthy Children and Youth (EPSDT) program nor adults when State plan psychology services are appropriate to meet the individual's need.

Counseling includes psychological testing, initial assessment, periodic outcome evaluation and coordination with family members, caretakers and other professionals in addition to direct counseling. This service is needed by certain waiver participants whose living arrangement, job placement or day activity is at risk due to maladaptive behavior or lack of adjustment.

The planning team ensures this service does not duplicate, nor is duplicated by, any other services provided to the individual. Counseling is a cost effective alternative to placement in an ICF-MR.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
This service is not available to children who are eligible for psychology/counseling services reimbursed under the Healthy Children and Youth (EPSDT) program nor adults when State plan psychology services are appropriate to meet the individual's need. This waiver service will only be utilized when a prior authorization request has been submitted to and denied by MO HealthNet.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Agency enrolled as a waiver provider employing psychologist, counselor or social worker licensed in accordance with RSMo., Chapter 337
Individual	Professional Counselor

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Counseling

Provider Category:
Agency
Provider Type:
Agency enrolled as a waiver provider employing psychologist, counselor or social worker licensed in accordance with RSMo., Chapter 337
Provider Qualifications
License *(specify)*:
Psychologist, counselor or social worker licensed in accordance with RSMo. Chapter 337
Certificate *(specify)*:

Other Standard *(specify)*:

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider records; Regional Office oversight

Frequency of Verification:

Prior to contract approval or at renewal; as needed based on monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Counseling

Provider Category:

Individual

Provider Type:

Professional Counselor

Provider Qualifications

License *(specify)*:

Psychologist, counselor or social worker licensed in accordance with RSMo., Chapter 337

Certificate *(specify)*:

Other Standard *(specify)*:

DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Offices

Frequency of Verification:

Prior to contract approval or renewal; as needed based on service monitoring concerns

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:

Crisis Intervention

Service Definition *(Scope)*:

Crisis Intervention provides immediate therapeutic intervention, available to an individual on a 24-hour basis, to address personal, social, and/or behavioral problems which otherwise are likely to threaten the health and safety of the individual or of others and/or to result in the individual's removal from his current living arrangement.

Crisis intervention may be provided in any setting and includes consultation with family members, providers

and other caretakers to design and implement individualized crisis treatment plans and provide additional direct services as needed to stabilize the situation.

Individuals with developmental disabilities are occasionally at risk of being moved from their residences to institutional settings because the person, or his or family members or other caretakers, are unable to cope with short term, intense crisis situations. Crisis intervention can respond intensively to resolve the crisis and prevent the dislocation of the person at risk. The consultation which is provided to caregivers also helps to avoid or lessen future crises. This service is a cost effective alternative to placement in an ICF-MR.

Specific crisis intervention service components may include the following:
• Analyzing the psychological, social and ecological components of extreme dysfunctional behavior or other factors contributing to the crisis;
• Assessing which components are the most effective targets of intervention for the short term amelioration of the crisis;
• Developing and writing an intervention plan;
• Consulting and, in some cases, negotiating with those connected to the crisis in order to implement planned interventions, and following-up to ensure positive outcomes from interventions or to make adjustments to interventions;
• Providing intensive direct supervision when a consumer is physically aggressive or there is concern that the consumer may take actions that threaten the health and safety of self and others;
• Assisting the consumer with self care when the primary caregiver is unable to do so because of the nature of the consumer's crisis situation; and
• Directly counseling or developing alternative positive experiences for consumers who experience severe anxiety and grief when changes occur with job, living arrangement, primary care giver, death of loved one, etc.

Providers of crisis intervention shall consist of a team under the direction and supervision of a psychologist, counselor or social worker licensed by the State of Missouri (RSMo. 1994, Chapter 337). Alternately, the supervisor may be employed by the State of Missouri as a psychologist, clinical social worker or in an equivalent position (such positions are exempt from licensure) and meet the requirements of a QDDP* (as defined at 42 CFR 483.430). All team members shall have at least one year of work experience in serving persons with developmental disabilities, and shall, either within their previous work experience or separately, have a minimum of 40 hours training in crisis intervention techniques prior to providing services.

Crisis teams may be agency based (certified or accredited ISL lead agencies, day habilitation providers, and group homes, or Division of DD regional offices and habilitation centers), or they may stand alone.

The scope of the waiver crisis intervention service is significantly above and beyond the scope of the state plan service and is meant to be provided by a team, not a single individual. It would be extremely rare for a crisis situation involving a DD waiver participant to be resolved within 60 minutes, and by a person without specialized training working with people with developmental disabilities. Many crisis situations in the DD system may be due to an environmental situation where the individual does not have the language skills to communicate their discomfort or distress, and the average provider of traditional "talk therapy" may not have the experience, skills and educational background to appropriately address this need.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Crisis Intervention services are expected to be of brief duration (4 to 8 weeks, maximum). When services of a greater duration are required, the individual should be transitioned to a more appropriate services program such as counseling, or respite.

Crisis intervention needs for the eligible person that can be met through state plan, including EPSDT crisis services, as applicable, shall first be accessed and utilized, in accordance with the requirement that state plan services must be exhausted before waiver services can be provided. Waiver crisis intervention shall be provided above and beyond any state plan, including EPSDT crisis service that can meet the individual's need.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	Division of DD Regional Offices and Habilitation Centers
Agency	Crisis Agency
Agency	ISL Lead Agency; Day Habilitation; or Residential Habilitation Provider Agency

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Intervention

Provider Category:
Agency

Provider Type:
Division of DD Regional Offices and Habilitation Centers

Provider Qualifications

License *(specify)*:
Psychologist, Counselor or Social Worker licensed under RSMo., Chapter 337;

Certificate *(specify)*:

Other Standard *(specify)*:
Supervisor may be employed by the State of Missouri as a psychologist, clinical social worker or equivalent position exempt from licensure, but who meets the requirements of a QDDP.

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD Regional Office and DMH Contract Unit Staff

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Intervention

Provider Category:
Agency

Provider Type:
Crisis Agency

Provider Qualifications

License *(specify)*:
Psychologist, Counselor or Social Worker licensed under RSMo., Chapter 337

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Intervention

Provider Category:
Agency

Provider Type:
ISL Lead Agency; Day Habilitation; or Residential Habilitation Provider Agency

Provider Qualifications

License *(specify)*:
Psychologist, Counselor or Social Worker licensed under RSMo., Chapter 337

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

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:
Environmental Accessibility Adaptations-Home/Vehicle Modification

Service Definition *(Scope)*:
Those physical adaptations, required by the recipient's plan of care, which are necessary to ensure the health, welfare and safety of the individual, or which enable the individual to function with greater independence in the community and without which, the recipient would require institutionalization. Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the recipient, but shall exclude adaptations or improvements to the home which are not of direct medical or remedial benefit to the waiver participant, such as carpeting, roof repair, central air conditioning, etc. Adaptations that add to the total square footage of the home are excluded from this benefit except when necessary to complete an adaptation. Adaptations may be approved for living arrangements (houses, apartments, etc.) where the participant lives, owned or leased by the participant, their family or legal guardian. These modifications can be to the individual's home or vehicle.

The following vehicle adaptations are specifically excluded in the waiver: adaptations or improvements to the vehicle that are of a general utility, and are not of direct medical or remedial benefit to the individual; purchase

or lease of a vehicle; and regularly scheduled upkeep and maintenance of a vehicle except upkeep and maintenance of the modification.

All adaptations must be recommended by an Occupational or Physical Therapist. Plans for installations should be coordinated with the therapist to ensure adaptations will meet the needs of the individual as per the recommendation. All services shall be provided in accordance with applicable State or local building codes.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Costs are limited to $7,500 per year, per individual. The annual limit corresponds to the waiver year, which begins July 1 and ends June 30 each 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
Individual	Contractor
Agency	Contractor

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Environmental Accessibility Adaptations-Home/Vehicle Modification

Provider Category:
Individual
Provider Type:
Contractor
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Must have applicable business license and meet applicable building codes; DMH Contract
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional Office
Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Environmental Accessibility Adaptations-Home/Vehicle Modification

Provider Category:
Agency
Provider Type:
Contractor
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Must have applicable business license and meet applicable building codes; DMH Contract
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional Office
Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

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:
Independent Living Skills Development
Service Definition *(Scope)*:
Independent living skills development focuses on skill acquisition/development, retention/maintenance to assist the individual in achieving maximum self-sufficiency. This service assists the participant to acquire, improve and retain the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings. Independent Living Skills Development differs from the Personal Assistant service in that a personal assistant may directly perform activities or may support the individual to learn how to perform ADLS and IADLS as part of the service.

This service does not provide basic child care (a.k.a. "baby sitting"). When services are provided to children the ISP must clearly document that services are medically necessary to support and promote the development of independent living skills of the child or youth, and are over and above those provided to a child without disabilities. The ISP must document how the service will be used to reinforce skills or lessons taught in school, therapy or other settings and neither duplicates nor supplants the services provided in school, therapy or other settings. The ISP must also clearly document the service is not supplanting the responsibilities of the primary caregiver.

ISPs are developed in accordance with Division Directive 4.060 and must include outcomes and action steps individualized to what the participant wishes to accomplish, learn and/or change. The Utilization Review Committee, authorized under 9 CSR 45-2.017 has the responsibility to ensure all services authorized are necessary based on the needs of the individual and ensures that Independent Living Skills Development is not utilized in lieu of basic child care that would be provided to children without disabilities.

This service has three distinct components; each component is listed separately in Appendix J.

A provider is not required to make services available in a stand-alone facility to provide this service, but may choose only to provide the Home Skills Development and Community Integration components of this service.

Home Skills Development includes but is not limited to cooking, personal care, house cleaning, and laundry. The service assists the participant to acquire, improve and retain the self-help, socialization, adaptive, and life skills necessary at home. Home Skills development takes place in the participant's residence, including group homes, the individual's private home where they may or may not have unrelated housemates, or in the home of a family member with whom the participant resides. Services may be provided on an individual basis or for groups up to 6.

Day services are provided at a stand-alone licensed or certified day program facility, which is not physically connected to the participant's residence. Day services assist the participant to acquire, improve and retain the self-help, socialization, adaptive, and life skills necessary at home or in the community. Costs for transporting the participant from their place of residence to the day program site are not included in the day service rate, and waiver transportation may be provided and separately billed.

Community Integration teaches all skills needed to be part of a community, such as using public transportation, making and keeping medical appointments, attending social events, any form of recreation, volunteering, participating in organized worship or spiritual activities. Transportation costs related to the provision of this service in the community are included in the service rate.

A waiver participant's ISP may include any combination of services, but service documentation according to 13 CSR 70-3.030(2)(A) 6. requiring a begin and end time for services reimbursed according to time spent in service delivery will clearly show no duplication or overlap in the time of the day the service is provided, and the place of service must match the billing code.

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	Independent Living Skills

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Independent Living Skills Development

Provider Category:
Agency

Provider Type:
Independent Living Skills

Provider Qualifications

License *(specify)*:
9 CSR 40-1,2,9

Certificate *(specify)*:

9 CSR 45-5.010 certification; CARF, CQL or The Joint Commission
Other Standard *(specify):*
DMH Contract;
Direct contact staff must have:
A high school diploma or its equivalent; training in CPR and First Aid; and one-year experience working with people with mental retardation/developmental disabilities, or in lieu of experience, must successfully complete a Quality Outcome training program approved by the Division of DD regional office.
Program staff administering medication must have successfully completed a course on medication administration approved by the Division of DD regional office. Medication administration training must be updated every two years with successful completion.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office
Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

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:
Job Discovery
Service Definition *(Scope):*
Job discovery services include but are not limited to the following: Volunteerism, self-determination and self-advocacy (assisting an individual in identifying wants and needs for supports and in developing a plan for achieving integrated employment), job exploration, job shadowing, informational interviewing, labor market research, job and task analysis activities, employment preparation (i.e. resume development, work procedures), and business plan development for self-employment. Job discovery is intended to be time-limited. The initial discovery process should not exceed a three month period and will result in the development of a career profile and employment goal or career plan. Additional monthly increments must be preauthorized by the DDD.
If it becomes clear that competitive integrated employment is not a reasonable goal and the individual does not plan to move forward toward competitive integrated employment then other supports and services which are designed to continue on a long term basis should be considered.
The waiver will not cover vocational rehabilitation services, which are otherwise available under section 110 of the Rehabilitation Act of 1973. Therefore, the case records for individuals receiving job discovery and preparation services under the waiver will document that the participant was denied benefits by the Missouri Department of Elementary and Secondary Education, Office of Adult Learning and Rehabilitation Service (VR), exhausted VR benefits (nine months is the maximum in Missouri), VR does not cover the specific employment service the individual requires, or the person requests supports from a provider that does not participate in VR's system. The service coordinator's documentation of VR's failure to confirm a denial of benefits in writing within 30 days of verbal notification may also serve as evidence of eligibility for job discovery and preparation services.

When participants are compensated they must be paid in accordance with the United States Fair Labor Standards Act (USFLSA) of 1985.

Services may be provided in a community workplace setting or at a licensed, certified or accredited facility of a qualified job discovery and preparation service provider.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Job discovery is intended to be time-limited. The initial discovery process should not exceed a three month period and will result in the development of a career profile and employment goal or career plan.

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	Community Employment Provider
Agency	Day Habilitation Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Job Discovery

Provider Category:
Agency

Provider Type:
Community Employment Provider

Provider Qualifications

License *(specify)*:
9 CSR 30-5.050

Certificate *(specify)*:
9 CSR 45-5.010 certification; CARF, CQL or Joint Commission accreditation

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Job Discovery

Provider Category:
Agency

Provider Type:
Day Habilitation Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
Certified by DMH under 9 CSR 45-5.010; Accredited by the CARF in the area of Personal, Social and Community Services; or accredited by CQL or Joint Commission.
Other Standard *(specify)*:
DMH Contract
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional Office
Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concern

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:
Occupational Therapy
Service Definition *(Scope)*:
Occupational therapy requires prescription by a physician and evaluation by a certified occupational therapist (OT) or certified occupational therapeutic assistant (COTA) under the supervision of an OT. The service includes evaluation, plan development, direct therapy, consultation and training of caretakers and others who work with the individual. It may also include therapeutic activities carried out by others under the direction of an OT or COTA . Examples are using adaptive equipment, proper positioning and therapeutic exercises in a variety of settings.

Occupational therapy is covered under the Medicaid state plan for children and youth under the age of 21, so waiver OT is only for people age 21 and over.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Occupational Therapy requires prescription by a physician and evaluation by a certified occupational therapist (OT) or Occupational Therapeutic Assistant (COTA) under the supervision of an OT.

Occupational therapy needs for the eligible person through EPSDT, as applicable, shall first be accessed and utilized, in accordance with the requirement that state plan services must be exhausted before waiver services can be provided. Occupational therapy through EPSDT for eligibile persons under age 21 shall be provided and exhausted first for persons before DD waiver occupational therapy is provided.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [ ] **Relative**
- [ ] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Agency employing licensed Occupational Therapists and may also employ registered COTA's supervised by licensed Occupational Therapists
Individual	Occupational Therapist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Occupational Therapy

Provider Category:
Agency

Provider Type:
Agency employing licensed Occupational Therapists and may also employ registered COTA's supervised by licensed Occupational Therapists

Provider Qualifications

License *(specify):*

Certificate *(specify):*
Certified per RSMo 1990 334.735—334.746 as Occupational Therapist by AOTA or registered as a COTA

Other Standard *(specify):*
DMH Contract; Occupational therapist must be either certified as an occupational therapist by the American Occupational Therapy Association or registered as a Certified Occupational Therapeutic Assistant (COTA). Requirements for registration as a COTA in Missouri are: Attainment of a two-year associate degree from an accredited college; successful completion of a state exam; and registration with the State Division of Professional Registration. In addition, COTAs must receive supervision from a professional OT on a periodic, routine and regular basis.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Occupational Therapy

Provider Category:
Individual

Provider Type:
Occupational Therapist

Provider Qualifications

License *(specify):*

Certificate *(specify):*
Certified per RSMo 1990 334.735—334.746 as Occupational Therapist by AOTA or registered as a COTA

Other Standard *(specify):*

DMH Contract; Occupational therapist must be either certified as an occupational therapist by the American Occupational Therapy Association or registered as a Certified Occupational Therapeutic Assistant (COTA). Requirements for registration as a COTA in Missouri are: Attainment of a two-year associate degree from an accredited college; successful completion of a state exam; and registration with the State Division of Professional Registration. In addition, COTAs must receive supervision from a professional OT on a periodic, routine and regular basis.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Office

Frequency of Verification:

Prior to contract approval or renewal; as needed based on service monitoring concerns

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:

Out of Home Respite

Service Definition *(Scope)*:

Out of home respite is care provided outside the home in a licensed, accredited or certified waiver residential facility, ICF/MR or State Habilitation Center by trained and qualified personnel for a period of no more than 60 days per year. The need for this service has to be an identified need through the planning process which would include the individual, guardian if applicable, the primary caregiver, other family members, service coordinator, and any other parties the individual requests. The purpose of respite care is to provide planned relief to the customary caregiver and is not intended to be permanent placement. If the needs of the individual exceed the Community Support Waiver annual cap or the individual's plan identifies an ongoing need for out of home services then the planning team would work to transition the individual to the Comprehensive DD waiver to meet their needs. FFP is not claimed for the cost of room and board except when provided as part of respite care furnished in a facility approved by the State that is not a private residence.

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

Out of home respite is limited to no more than 60 days annually.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	State-operated ICF/MR
Agency	Community Residential Facility

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Out of Home Respite

Provider Category:
Agency

Provider Type:
State-operated ICF/MR

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
13 CSR 15-9.010

Other Standard *(specify)*:

Verification of Provider Qualifications

Entity Responsible for Verification:
DHSS ICF/MR Unit

Frequency of Verification:
Annual

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Out of Home Respite

Provider Category:
Agency

Provider Type:
Community Residential Facility

Provider Qualifications

License *(specify)*:
9 CSR 40-1,2,4,5

Certificate *(specify)*:
9 CSR 45-5.010; CARF; CQL or the Joint Commission

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; service review every 2 years; as needed based on service monitoring concerns

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:

Person Centered Strategies Consultation

Service Definition *(Scope):*

This service involves consultation to the individual's support team to improve the quality of life for the individual through the development of and implementation of positive, proactive and preventative, Person Centered Strategies and a modified environment and/or life style for the individual. Person Centered Strategies consultation involves evaluating a person's setting, schedule, typical daily activities, relationships with others that make up the supports for an individual including paid staff/paid family and unpaid natural supports. The evaluation leads to changes in strategies including such things as re-arranging the home to reduce noise and stimulation, adding a personal quiet area to allow the individual to get away from annoying events, teaching skills to promote more positive interactions between the individual and supporting staff or family. Evaluation may involve identifying skills that would help the individual to have a better quality of life and assist the support staff/family to teach these meaningful skills to the individual and identify ways to proactively prevent problem situations and assisting the individual and support staff/family to use these new strategies and problem solving techniques for the individual. Such strategies developed could include: clarifying the expectations for the individual and all members of the support team, and establishing positive expectations or rules for the individual with the support team learning to change their system to support in these more positive ways, improving recognition of desirable actions and reduction of problematic interactions that might evoke undesirable responses from the individual. A large part of the consultation will involve assisting the support system to develop a sustainable implementation plan and to insure a high fidelity of implementation and consistency of use of the strategies to assist and support the individual.

Person Centered Strategy consultation might work towards improved quality of life for the individual through training of support persons and developing a way for the support system to monitor and evaluate the interactions and systems to establish increased opportunities for teaching and practice of necessary skills by the individual, increasing recognition of desirable actions by the individual and the support team, increased frequency and types of positive interactions by support persons with and by the individual, and assisting the individual and support team to arrange practice opportunities such as social skills training groups or arranging a system of coaching and prompting for desirable actions in situations that commonly are associated with problems. The consultant might establish and lead such practice opportunities while coaching support person to continue the practice when the service is discontinued.

The unit of service is one-fourth hour. This is a short term service that is not meant to be on going, the typical duration of service is to be twelve months or less.

This service is not to be provided for development or implementation of behavior support plans or functional assessment as these services require licensure as a behavior analyst, psychologist, counselor or social worker with specialized training in behavior analysis. However, this service might work in conjunction with a behavior analysis service provider to develop and establish a support system that can implement strategies towards a good quality of life for the individual.

Person Centered Strategies Consultation differs from the Behavior Analysis Service in that PCSC the focus and whole scope of the service is on identifying barriers to a good quality of life and improving proactive, preventative and teaching based strategies to increase desirable, healthy skills and thus reduce problem situations. In addition, the PCSC will require providers with a less involved level of training and experience than BAS.

Outcomes expected for this service are as follows:

1. Written document describing the results of the evaluation of the system to identify problem situations,

strategies and practices and relate these to the quality of life for the focus individual.
2. Summary of recommended strategies developed with the support team to address the identified problems and practices based on the evaluation.
3. Training for the individual and support team to implement the strategies with fidelity and collect data to determine effectiveness of the strategies that will assist the individual in achieving a good quality of life.
4. A written document that is incorporated into the Individual Support Plan to insure the implementation of the new strategies with fidelity and consistency by the support team after the PCSC is completed.

Documentation for the service:
1. Identification of the outcome being addressed during the service unit(s) for a particular session.
2. Description of progress towards the outcome.
3. Actions steps and planning for the next service sessions including a timeline and steps necessary to achieve the outcome.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
This is a short term service that is not meant to be on going, the typical duration of service is to be twelve months or less.

Psychology/Counseling services under EPSDT do not include Person Centered Strategies services.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Individual	Agency employing a Person Centered Strategies Consultant
Individual	Person Centered Strategies Consultant

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Person Centered Strategies Consultation

Provider Category:
Individual

Provider Type:
Agency employing a Person Centered Strategies Consultant

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
An agency or an individual must have a DMH contract.

This service can be provided by an Individual or an agency who is a Qualified Person Centered Strategies Consultant. A Person Centered Strategies Consultant is a person with a bachelor's degree

with special training, approved by the Division, related to the theory and practice of Person Centered Strategies for individuals with intellectual and developmental disabilities, or Applied Behavior Analysis and implementation of Person Centered Approaches.

Training will be approved by Division of DD staff if the training syllabus describes positive, proactive intervention strategies, quality of life variables and evaluation and improvement strategies and system wide implementation of evidenced based practices. This includes for example: the Tools of Choice training with additional coaching of tools training; College course work f or example within a special education department involving implementation of Tiered Supports strategies; training from a state agency on implementation of tiered supports and person centered strategies and quality of life.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Office

Frequency of Verification:

Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Person Centered Strategies Consultation

Provider Category:

Individual

Provider Type:

Person Centered Strategies Consultant

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

An agency or an individual must have a DMH contract.

This service can be provided by an Individual or an agency who is a Qualified Person Centered Strategies Consultant. A Person Centered Strategies Consultant is a person with a bachelor's degree with special training, approved by the Division, related to the theory and practice of Person Centered Strategies for individuals with intellectual and developmental disabilities, or Applied Behavior Analysis and implementation of Person Centered Approaches.

Training will be approved by Division of DD staff if the training syllabus describes positive, proactive intervention strategies, quality of life variables and evaluation and improvement strategies and system wide implementation of evidenced based practices. This includes for example: the Tools of Choice training with additional coaching of tools training; College course work f or example within a special education department involving implementation of Tiered Supports strategies; training from a state agency on implementation of tiered supports and person centered strategies and quality of life.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Office

Frequency of Verification:

Prior to contract approval or renewal; as needed based on service monitoring concerns

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:

Physical Therapy

Service Definition *(Scope):*

Physical Therapy treats physical motor dysfunction through various modalities as prescribed by a physician and following a physical motor evaluation. It is provided to individuals who demonstrate developmental, habilitative or rehabilitative needs in acquiring skills for adaptive functioning at the highest possible level of independence.

Physical therapy is a service designed to treat physical motor dysfunction through various modalities as prescribed by a physician and following a physical motor evaluation. It is provided to individuals who demonstrate developmental, habilitative or rehabilitative needs affecting the acquisition of skills needed for adaptive functioning at the highest level of independence for that individual. This service may include clinical consultation to individuals, parents, primary caregivers, other programs or habilitation services providers. Physical therapy services may not be carried out by a paraprofessional.

A unit of service is 1/4 hour.

Physical therapy is covered under the Medicaid state plan for children and youth under the age of 21, so waiver PT is only for people age 21 and over.

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

Physical therapy needs for the eligible person through EPSDT, as applicable, shall first be accessed and utilized, in accordance with the requirement that state plan services must be exhausted before waiver services can be provided. Physical therapy through EPSDT for eligible persons under age 21 shall be provided and exhausted first before the waiver physical therapy is provided. Children have access to EPSDT services.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	Physical Therapist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Physical Therapy

Provider Category:
Individual

Provider Type:
Physical Therapist

Provider Qualifications

License *(specify)*:
Licensed per RSMo 1990 334.530--334.625

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

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:
Professional Assessment and Monitoring

Service Definition *(Scope)*:
Professional Assessment and Monitoring - A face to face visit to evaluate need and identify appropriate assistance including any special instructions for participants and caregivers to reduce the need for routine health professional visits and prevent a higher level of care, which may include limited physical assessments, medication set up, injections, limited diagnosis and treatment, nutritional care plans, nutritional counseling if the nutritional problem or condition is of such a degree of severity that counseling is beyond that normally expected as a part of standard medical management, and nutritional therapy services, not otherwise covered by Medicare or Medicaid state plan services. Any changes in health status are to be reported to the physician and service coordinator as needed. Written reports of the visit are required to be sent to the service coordinator. This service may be provided by a licensed registered professional nurse, or a licensed practical nurse under the supervision of a registered nurse, or a licensed dietitian to the extent allowed by their respective scope of practice in the State of Missouri.

This service must not supplant Medicaid State plan services or Medicare services for which an individual is eligible. Excluded services include Diabetes Self Management Training available under the state plan and medical nutrition therapy services prescribed by a physician for Medicare eligibles who have diabetes or renal diseases.

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	Professional Nurse or Dietician.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Professional Assessment and Monitoring

Provider Category:
Individual

Provider Type:
Professional Nurse or Dietician.

Provider Qualifications

License *(specify)*:
Licensed per RsMo Chapter 335., 20 CSR 2200-4.020 in Missouri as a Registered Nurse (RN), Licensed Practical Nurse (LPN), or licensed per RsMo 324.200-324.4.225, 20 CSR 2115-2.020 Dietician

Certificate *(specify)*:

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Office

Frequency of Verification:
Prior to initial contract; 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:
Specialized Medical Equipment and Supplies (Adaptive Equipment)

Service Definition *(Scope)*:

Specialized medical equipment and supplies includes devices, controls, or appliances, specified in the service plan, which enable recipients to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live.

Includes items necessary for life support, ancillary supplies and equipment necessary to the proper functioning of such items, durable and non-durable medical equipment and supplies, and equipment repairs when the equipment, supplies and repairs are not covered under the Medicaid State DME plan. Includes incontinence supplies.

Items reimbursed with waiver funds, shall be in addition to any medical equipment and supplies furnished under the State plan and shall exclude those items which are not of direct medical or remedial benefit to the recipient. All items shall meet applicable standards of manufacture, design and installation.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Costs are limited to $7,500 per year, per individual. The annual limit corresponds to the waiver year, which begins July 1 and ends June 30 each year.

Other specialized equipment, supplies and equipment repair needs for the eligible person that can be met through state plan, including EPSDT, as applicable, shall first be accessed and utilized, in accordance with the requirement that state plan services must be exhausted before waiver services can be provided. DD waiver other specialized equipment, supplies and repairs shall be provided above and beyond any state plan, including EPSDT, equipment, supplies, and repair service that can meet the individual's needs. Further, this waiver service may also be authorized for items/repairs not covered under state plan and falls within the waiver service definition described above.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	Medical Equipment & Supply

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies (Adaptive Equipment)

Provider Category:
Agency
Provider Type:
Medical Equipment & Supply
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

Registered and in good standing with Missouri Secretary of State; DMH Contract; must be enrolled with Medicaid as a state plan Durable Medical Equipment Provider.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Office

Frequency of Verification:

Prior to contract approval or renewal; service review every 2 years; as needed based on service monitoring concerns

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:

Speech Therapy

Service Definition *(Scope):*

Speech Therapy is for individuals who have speech, language or hearing impairments. Services may be provided by a licensed speech language therapist or by a provisionally licensed speech therapist working with supervision from of a licensed speech language therapist. The individual's need for this therapy must be determined in a speech/language evaluation conducted by a certified audiologist or a state certified speech therapist. The need for services must be identified in the service plan and prescribed by a physician. Speech therapy provides treatment for delayed speech, stuttering, spastic speech, aphasic disorders, and hearing disabilities requiring specialized auditory training, lip reading, signing or use of a hearing aid.

Services may include consultation provided to families, other caretakers, and habilitation services providers. A unit of services is 1/4 hour.

Waiver providers must be licensed by the State of Missouri as a Speech Therapist. The Medicaid Waiver enrolled provider may employ a person who holds a provisional license from the State of Missouri to practice speech-language pathology or audiology. Persons in their clinical fellowship may be issued a provisional license. Clinical fellowship is defined as the supervised professional employment period following completion of the academic and practicum requirements of an accredited training program. Provisional licenses are issued for one year. Within 12 months of issuance, the applicant must pass an exam promulgated or approved by the board and must complete the master's or doctoral degree from an institution accredited by the Council on Academic Accreditation of the American Speech-Language-Hearing Association in the area in which licensing is sought. Provisionally licensed speech therapists must receive periodic, routine supervision from their employer, a Medicaid waiver enrolled speech therapy provider.

Therapies available to adults under the state plan are for rehabilitation needs only. Therapies in the waiver are above and beyond what the state plan provides. Therapies in the waiver are more habilitative in nature; habilitative therapy is not available under the state plan.

Speech therapy is covered under the Medicaid state plan for children and youth under the age of 21, so waiver ST is only for people age 21 and over.

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

The client's need for this therapy must be determined in a speech/language evaluation conducted by a certified audiologist or a state certified speech therapist. Services must be required in the plan of care and prescribed by a physician. This service may not be provided by a paraprofessional.

Speech therapy needs for the eligible person through EPSDT, as applicable, shall first be accessed and utilized, in accordance with the requirement that state plan services must be exhausted before waiver services can be

provided. Speech therapy through EPSDT for eligibile persons under age 21 shall be provided and exhausted first for persons before DD waiver speech therapy is provided.

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 Speech Therapist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Speech Therapy

Provider Category:
Individual

Provider Type:
Licensed Speech Therapist

Provider Qualifications

License *(specify)*:
Licensed per RSMo 1990 345.050

Certificate *(specify)*:
Provisionally licensed per RSMo 1998 345.022, employed & supervised by licensed speech therapist

Other Standard *(specify)*:
DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional Offices

Frequency of Verification:
Prior to contract approval or renewal; service review every 2 years; as needed based on service monitoring concerns

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:

Support Broker
Service Definition *(Scope)*:
A Support Broker provides information and assistance to the individual or designated representative for the purpose of directing and managing supports. This includes practical skills training and providing information on recruiting and hiring personal assistant workers, managing workers and providing information on effective communication and problem-solving. The extent of the assistance furnished to the individual or designated representative is specified in the service plan.

A Support Broker provides the individual or their designated representative with information & assistance (I&A) to secure the supports and services identified in the Service Plan.

A Support Broker provides the individual or designated representative with information and assistance (I &A) to:
- establish work schedules for the individual's employees based upon their Service Plan
- help manage the individual's budget when requested or needed
- seek other supports or resources outlined by the Service Plan
- define goals, needs and preferences, identifying and accessing services, supports and resources as part of the person centered planning process which is then gathered by the service coordinator for the Service Plan
- implement practical skills training (recruiting, hiring, managing, terminating workers, managing and approving timesheets, problem solving, conflict resolution)
- develop an emergency back-up plan
- implement employee training
- promote independent advocacy, to assist in filing grievances and complaints when necessary
- include other areas related to providing I&A to individuals/designated representative to managing services and supports

Support brokers must have a background screening per the Division of DD, be at least 18 years of age and possess a high school diploma or GED.

The support broker must have experience or Division of DD approved training in the following areas:

ability, experience and/or education to assist the individual/designated representative in the specific areas of support as described in the Service Plan & competence in knowledge of Division of DD policies and procedures: abuse/neglect; incident reporting; human rights and confidentiality; handling emergencies; prevention of sexual abuse; knowledge of approved and prohibited physical management techniques; understanding of support broker responsibilities, of advocacy, person-centered planning, and community services; and understanding of individual budgets and Division of DD fiscal management policies.

The planning team may specify any additional qualifications and training the support broker will need in order to carry out their duties as specified in the Service Plan.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Support Broker services do not duplicate Service Coordination. Support Brokerage is a direct service.

A Support Broker may not be a parent, guardian or other family member. They cannot serve as a personal assistant or perform any other waivered service for that individual. This service can be authorized for up to 8 hours per day (32 quarter hour units).

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

- [x] **Participant-directed as specified in Appendix E**
- [x] **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	Individual Support Broker
Agency	Individualized Supported Living or Day Habilitation

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Support Broker

Provider Category:
Individual

Provider Type:
Individual Support Broker

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Individual Support Broker who is Age 18: meets minimum training requirements; agreement with Division Regional Office; agreement with individual/designated representative, supervised by individual/designiated representiative.

DMH Contract

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD Regional OFfice and Consumer/Family

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Support Broker

Provider Category:
Agency

Provider Type:
Individualized Supported Living or Day Habilitation

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
DMH Certification for ISL or day hab; or CARF/CQL/the Joint Commission accredited for ISL or day hab

Other Standard *(specify)*:
DMH Contract; employs qualified support brokers

Verification of Provider Qualifications

Entity Responsible for Verification:
Division of DD Regional Office

Frequency of Verification:
Prior to contract approval or renewal; as needed based on service monitoring concerns

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Transportation

Service Definition *(Scope)*:
Transportation is reimbursable when necessary for an individual to access waiver and other community services, activities and resources specified by the service plan. Transportation under the waiver shall not supplant transportation provided to providers of medical services under the state plan as required by 42 CFR 431.53, nor shall it replace emergency medical transportation as defined at 42 CFR 440.170(a) and provided under the state plan. State plan transportation in Missouri is provided to medical services covered under the state plan, but not to waivered services, which are not covered under the state plan. Transportation is a cost effective and necessary part of the package of community services, which prevent institutionalization.

A variety of modes of transportation may be provided, depending on the needs of the individual and availability of services. Alternatives to formal paid support will always be used whenever possible. A unit is one per month.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
State plan transportation under this waiver is limited to medical services covered in the state plan. State plan transportation does not cover transporting persons to waiver services, which are not covered under the state plan.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **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	Transportation

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Transportation

Provider Category:
Agency

Provider Type:
Transportation
Provider Qualifications
License *(specify):*
RSMo., Chapter 302, Drivers & Commercial Licensing
Certificate *(specify):*

Other Standard *(specify):*
DMH Contract
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional Office
Frequency of Verification:
Prior to contract approval or renewal; service review every 2 years; as needed based on service monitoring concerns

Appendix C: Participant Services

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

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

- ☐ **Not applicable** - Case management is not furnished as a distinct activity to waiver participants.
- ☒ **Applicable** - Case management is furnished as a distinct activity to waiver participants.
  Check each that applies:
  - ☐ **As a waiver service defined in Appendix C-3.** *Do not complete item C-1-c.*
  - ☐ **As a Medicaid State plan service under §1915(i) of the Act (HCBS as a State Plan Option).** *Complete item C-1-c.*
  - ☑ **As a Medicaid State plan service under §1915(g)(1) of the Act (Targeted Case Management).** *Complete item C-1-c.*
  - ☐ **As an administrative activity.** *Complete item C-1-c.*

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

Division of DD Regional Offices (State Employees) and approved Targeted Case Management Entities Employees

Appendix C: Participant Services

C-2: General Service Specifications (1 of 3)

a. **Criminal History and/or Background Investigations.** Specify the State's policies concerning the conduct of criminal history and/or background investigations of individuals who provide waiver services (select one):

- ☐ **No. Criminal history and/or background investigations are not required.**
- ☒ **Yes. Criminal history and/or background investigations are required.**

Specify: (a) the types of positions (e.g., personal assistants, attendants) for which such investigations must be conducted; (b) the scope of such investigations (e.g., state, national); and, (c) the process for ensuring that mandatory investigations have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid or the operating agency (if applicable):

(a) Background screening is required for all provider staff and volunteers who have contact with consumers. Background screenings are required for volunteers who are recruited as part of an agency's formal

volunteer program. It does not apply to volunteers who assist individuals as a friend would by providing assistance with shopping, transportation, recreation, etc. Background screenings are also required for members of the provider's household who have contact with residents or consumers, except for minor children. (Title 9 Code of State Regulations 10.5.190 and Department Operating Regulation 6.510).

(b) An inquiry must be made for all new employees and volunteers with the Missouri Department of Health and Senior Services to determine whether the new employee or volunteer is on Department of Social Services or the Department of Health and Senior Services disqualification list. An inquiry is also made with the Department of Mental Health to determine whether the individual is on the DMH disqualification registry. A criminal background check with the Missouri State Highway Patrol is required. The criminal background check and inquiries are initiated prior to the employee or volunteer having contact with residents, clients, or patients. All new applicants for employment or volunteer positions involving contact with residents or clients must: 1) sign a consent form authorizing a criminal record review with the Missouri State Highway Patrol either directly through the patrol or through a private investigatory agency; 2) disclose his/her criminal history including any conviction or a plea of guilty to a misdemeanor or felony charges and any suspended imposition of sentence, any suspended execution of sentence, or any period of probation or parole; and 3) disclose if he/she is listed on the employee disqualification list of the Departments of Social Services, Health and Senior Services, or Mental Health.

(c) Employers are responsible for requesting the background screenings. A single request is used and submitted to the state's Family Care Safety Registry, operated by the Department of Health and Senior Services. The Family Care Safety Registry has access to the criminal record system of the state Highway Patrol as well the abuse/neglect and employee disqualification lists/registries that are required.

(d) Each agency must develop policies and procedures regarding the implementation of this rule and the disposition of information provided by the criminal record review. Review of provider policies and procedures are part of a provider licensure/certification site visit per 9 CSR 40-2.075.

The DMH licensure/certification process, Division of DD Provider Relations review, and Division of DD Fiscal Review process all look for evidence that background investigations are completed as required.

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

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

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

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

(a) The Department of Mental Health (DMH) maintains the Disqualification Registry which is a list of individuals disqualified from working with consumers receiving services from the department. Statutory authority is contained in RSMo 630.170. The Department of Health and Senior Services also maintains an employee disqualification list.
(b) All new applicants for employment or volunteer positions involving contact with consumers or residents are checked against the Department of Mental Health's Disqualification Register and the Department of Health and Senior Services' Disqualification List.
(c) Surveys for licensing and certifying community residential facilities and day programs ensure these providers have records to support staff and volunteers have been properly screened. Local Regional Office quality enhancement staff or Department audit services staff review records while conducting other reviews or based on reports that screenings are not being completed.
(d) Employers are responsible for requesting the background screenings. A single request is used and submitted to the state's Family Care Safety Registry, operated by the Department of Health and Senior Services. The Family Care Safety Registry has access to the criminal record system of the state Highway Patrol as well the abuse/neglect and employee disqualification lists/registries that are required.

Appendix C: Participant Services

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

c. **Services in Facilities Subject to §1616(e) of the Social Security Act.** *Select one:*

- [x] **No. Home and community-based services under this waiver are not provided in facilities subject to §1616(e) of the Act.**
- [ ] **Yes. Home and community-based services are provided in facilities subject to §1616(e) of the Act. The standards that apply to each type of facility where waiver services are provided are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).**

Appendix C: Participant Services

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

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

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

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

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

- [ ] **The State does not make payment to relatives/legal guardians for furnishing waiver services.**
- [x] **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.*

Personal assistant services shall not be provided by an individual's spouse, if the individual is a minor (under age 18) by a parent, or legal guardian. Personal assistant services may otherwise be provided to a person by a member(s) of his or her family when the person is not opposed to the family member providing the service and the service to be provided does not primarily benefit the family unit, is not a household task family members expect to share or do for one another when they live in the same household, and otherwise is above and beyond typical activities family members provide for another adult family member without a disability.

In case of a paid family member the service plan must reflect:
• The individual is not opposed to the family member providing services;
• The services to be provided are solely for the individual and not task household tasks expected to be shared with people live in family unit;
• The planning team determines the paid family member providing the service best meet the individual's needs;
• A family member will only be paid for the hours authorized in the service plan and at no time can these exceed 40 hours per week. Any support provided above this amount would be considered a natural support or the unpaid care that a family member would typically provide;
• Family members can be hired for personal assistant only.

Family is defined as: A family member is defined as a parent, step parent; sibling; child by blood, adoption, or marriage; spouse; grandparent; or grandchild.

Family members approved to provide personal assistant services may be employed by an agency or employed by the individual/guardian or designated representative using an approved fiscal management service provider. If the person employs his/her own workers using an approved fiscal management service provider, the family member serving as a paid personal assistant shall not also be the designated representative/common law employer.

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

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

☐ **Other policy.**

Specify:

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

Interested providers contact the Regional Office in the area where they plan to provide services. Regional Office contract staff determines if the provider meets provider qualifications by reviewing documentation that serves as proof of requirements such as licensing, certification, accreditation, training, appropriate staff, etc. If the provider is qualified, the Regional Office initiates a DMH Waiver contract with the provider and assists the provider with enrolling as an DD Medicaid Waiver provider through the Medicaid agency. All qualified, willing providers are assisted in enrolling as a waiver provider as provided in 42 CFR 431.51. The average time to enroll as a waiver provider is estimated to be 90-days.

Division of DD Directive, 5.060, Enrollment of New Providers, was established to ensure consistent standards are followed by the Division's 11 Regional Offices in enrolling new providers.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. **Methods for Discovery: Qualified Providers**
   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/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 initial provider applications that met enrollment criteria. (number initial applications meeting requirements prior to providing services over number of all new provider applicantionss)

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 =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of providers who initially met applicable licensure/ certification/ accreditation requirements. (Number of applying providers that initially met applicable licensure/ certification/accreditation prior to providing services over all newly enrolled provdiers.)

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Performance Monitoring

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

		Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of providers who maintained ongoing licensure/certification/ accreditation. (Number of providers that maintained ongoing licensure/certification/ accreditation ÷ number of ongoing providers seeking renewal of licensure/certification/accreditation.)

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 =

☑ **Other** Specify: DMH Licensure and Certification Unit	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 non-licensed and non-certified providers, who meet waiver provider qualifications. (Number of , self directed staff who meet requirements over the total number of self directed staff employed.)

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 =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

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

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 providers meeting provider training requirements. (Number of providers who met requirements ÷ total number of providers 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 =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
(a1, a5, c1): New applicants who do not meet the initial provider enrollment qualifications are not enrolled as providers. Upon successful completion of the provider enrollment process, the provider relations staff notifies the DMH Licensure and Certification (L&C) Unit that the provider is ready to pursue their certification or license, if applicable for the services provided. The L&C Unit conducts a survey to determine if standards for those services are met and produces a written report within 30 business days of the site survey; if standards are met, L&C issues a license or a certificate. If the provider does not meet the standards, they must complete a plan of correction within 30 days of receipt of the written report. The L&C Unit then has 10 working days to accept or reject the plan of correction. Necessity for additional site visit(s) is determined by the type, scope and extent of the issues for improvement, and the L&C Unit, as well as the

Provider Relations contact at the Regional Office, follows through on the process. Final determination of conformance to standards results in issuance of the license or certificate, or results in denial of license or certificate. If the license or certificate is denied, the contract is terminated. The Regional Office corrects any authorizations made in error as well as filing adjustments for any claims paid in error and reports the action to the Regional Office quality assurance staff in writing, describing how the error was corrected and any remedial training that was provided to staff.
(a3) Provider Relations staff at the Regional Office determine conformance with qualifications for contract purposes. Provider Relations conducts a review on an annual basis to assure the non-licensed/certified/accredited providers are in compliance with contract requirements.

Providers who do not maintain qualifications are dis-enrolled as providers for waiver services. The Regional Office corrects any authorizations made in error as well as filing adjustments for any claims paid in error and reports the action to the Regional Office quality enhancement staff in writing, describing how the error was corrected and any remedial training that was provided to staff.

(b1) In addition to targeted training all self-directed employees must have background checks completed and be registered with the Family Care Safety Registry (FCSR) before they can be paid for services. If it is determined a worker did not have a background check completed prior to the worker beginning, the Financial Management Service contractor is notified within 10 days of discovery by Regional Office management staff that an error has occurred since the contractor is responsible for background checks. The contractor must respond in writing with 30 days to the Regional Office describing how the error has been corrected. Case management staff will assure the worker does not provide additional services until the check is completed satisfactorily. Administration staff will take action to adjust authorizations made in error and any claims paid in error.

(c1): The L&C Unit conducts a survey to determine if standards are met and produces a written report within 30 business days of the site survey; if standards are met, L&C issues a license or a certificate. If the provider does not meet the standards, they must complete a plan of correction within 30 days of receipt of the written report. The L&C Unit then has 10 working days to accept or reject the plan of correction. Necessity for additional site visit(s) is determined by the type, scope and extent of the issues for improvement, and the L&C Unit, as well as the Provider Relations contact at the Regional Office, follows through on the process. Final determination of conformance to standards results in issuance of the license or certificate, or results in denial of license or certificate. If the license or certificate is denied, the contract is terminated. The Regional Office corrects any authorizations made in error as well as filing adjustments for any claims paid in error and reports the action to the Regional Office quality assurance staff in writing, describing how the error was corrected and any remedial training that was provided to staff.

Providers accredited by CARF International or Council for Quality and Leadership (CQL) are deemed certified, as outlined in Missouri Code of State Regulation. These accredited providers submit a copy of their most recent accreditation survey and the statement of accreditation to the Division of DD, to verify that the accreditation status is current and to determine what areas of improvement are noted. If an improvement plan is required by the accrediting body, that correspondence is also submitted to the Division. The Division Standards and Accreditation Coordinator tracks to assure that these reports are submitted and reviewed; if the current status is not on file, the Coordinator contacts the Provider Relations staff at the Regional Office to assist in obtaining the required documentation.

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

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

☒ **No**

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

Appendix C: Participant Services

C-3: Waiver Services Specifications

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

Appendix C: Participant Services

C-4: Additional Limits on Amount of Waiver Services

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

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

☒ **Applicable** - The State imposes additional limits on the amount of waiver services.

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

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

(a) Environmental Accessibility Adaptations and Specialized Medical Equipment and Supplies have a limit of $7,500 annually and Assistive Technology is limited to $3,000 annually. Limits were set to ensure only a level of service necessary to avoid entering an institution is authorized.
(b) The $7,500 service limit for Environmental Accessibility Adaptations and Specialized Medical Equipment and the $3,000 service limit for Assistive Technology will be reviewed annually and utilization patterns analyzed. If it is necessary to adjust this amount the waiver will be amended.

(c) If a person's need can't be met within a limit, an exception may be approved by the by the director or designee to exceed the limit if exceeding the limit will result in decreased need (units) of one or more other

services. The service plan must document exceeding the limit for the service that will result in a decreased need of one or more other services. If it is determined the needs of a significant number of individuals cannot be met within the limitation, an amendment will be requested to increase the amount of the limitation.
(d) Attempts will be made to locate another funding source or an exception may be requested and approved, see (c) above.
(e) & (f) When the individual has a need for these services, they are informed of the limitation. The limitation is listed within the description of the services which is available to participants, their legal representatives, advocates, and the public in general. The amount of the limit is published with the service definition.

☐ **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 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:*

Entities that have responsibility for service coordination, including service plan development, sometimes also provide waiver services. Service coordinators do not also provide waiver services. When an entity provides both service coordination and waiver services, all quality management functions and actions are applicable as with any other waiver provider.

The Division of DD Quality Enhancement Staff ensures the entity acts in the best interest of the participant. To avoid potential conflicts of interest, the following steps are taken.

1.Division of DD Regional Offices are responsible for reviewing and approving all waiver eligibility determinations.

2.Entities providing both service coordination and waiver services must develop a conflict of interest plan specific to the service delivery area and its circumstances. This plan must include:
a. Information identifying potential conflict of interest situations;
b. Planned or ongoing agency initiatives intended to eliminate or mitigate the occurrence;
c. Agency actions intended to manage those ongoing situations that cannot be eliminated and may include but are not limited to: an open door policy, non-retribution and whistle-blowers' policies, rights committee review, and grievance policy. The grievance policy includes review and decisions of the agency; and
d. Methods of communication required to inform the individual consumer and/or guardian, if applicable, about the potential conflict.

3.During the annual service plan meeting the service coordinator will discuss potential conflict of interest and will inform the participant and family of all service options for meeting needs identified in the service plan, and will offer choice of provider for each service to the participant and family. The option to choose an independent Community Specialist is also offered during the person centered planning process. Choices made by the participant and family are documented. The service plan must document that as a provider of service coordination and waiver services the agency will ensure its employees will act in the best interest of the participant and that no conflict of interest occurs. Individuals have the right to request an independent Community specialist to develop the service plan.

4.The Division of DD's Quality Enhancement review of these entities includes:
a.Verification that the conflict of interest statement is included in the service plan; and
b.Interaction/contact with a sample of consumers and/or their guardians to verify effectiveness of the procedures.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (3 of 8)

c. **Supporting the Participant in Service Plan Development.** Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

The interdisciplinary planning team responsible for the development of the individual service plan must include the individual and his representative, family or guardian. When individuals are children under the age of 18 living with

their family, the parent(s) choose who they want to attend as a member of the planning team, and the parent(s) must participate in the meeting.

Division of DD Directive 4.060 requires all service coordinators be trained on the Division of DD Person Centered Planning Guidelines prior to facilitating an individual service plan. The guidelines describe person-centered planning as a process that is directed by the individual (waiver participant), with assistance as needed from a representative (service coordinator) and reinforces the responsibility of the service coordinator to ensure that waiver participants are full partners in the planning process.

The guidelines are available to individuals and their families on the Division of DD's web page. The individual or legal representative must sign the completed service plan.

Appendix D: Participant-Centered Planning and Service Delivery

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

d. **Service Plan Development Process.** In four pages or less, describe the process that is used to develop the participant-centered service plan, including: (a) who develops the plan, who participates in the process, and the timing of the plan; (b) the types of assessments that are conducted to support the service plan development process, including securing information about participant needs, preferences and goals, and health status; (c) how the participant is informed of the services that are available under the waiver; (d) how the plan development process ensures that the service plan addresses participant goals, needs (including health care needs), and preferences; (e) how waiver and other services are coordinated; (f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan; and, (g) how and when the plan is updated, including when the participant's needs change. State laws, regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

(a) The interdisciplinary planning team includes the individual and his or her representatives, family or guardian. The individual chooses whom he/she wants to attend as a member of the team, unless the individual is a minor or has been judged incompetent, in which case the family or guardian must attend. The team also includes providers selected by the individual. Other professionals involved with the individual may be included as applicable and at the individual's invitation. The service plan is usually facilitated by a service coordinator employed by a Division of DD Regional Office or an approved Targeted Case Management Entity. If the person so chooses, another facilitator may be used, but the service coordinator will participate in the planning.
No later than 30 days from the date of acceptance into the waiver program the interdisciplinary planning team develops a service plan with the individual. Initial plans must contain at least an accurate beginning profile of the person. The profile needs to reflect what the person sees as important in relationships, things to do, places to be, rituals and routines, a description of immediate needs, especially those that are important to the person's quality of life including health and safety and information about what supports and/or services are required to meet the person's needs. The plan facilitator must make sure that each item in the action plan has enough detail and/or examples so that someone new in the person's life understands what is meant and how to support the person. If the initial plan is not comprehensive, it can cover no more than 60 days, during which time a more comprehensive plan must be finalized.
The service coordinator and the individual and/or his/her representative sign the completed plan prior to its implementation. All members of the planning team are provided a copy of the completed plan as appropriate.
(b) The plan is based on the service coordinator's functional assessment of the individual and all other assessments that are pertinent. Missouri uses the MOCABI (Missouri Critical Adaptive Behaviors Inventory) functional assessment tool for Adults and Vineland or other age appropriate tools for children. Assessments include observations and information gathered from the members of the team.
The functional assessment determines how the individual wants to live, the individual's routines, what works for the individual and what does not. It also assesses what the individual wants to learn and how the individual learns best. It measures how independently the individual functions and what interferes with what the individual wants, and it suggests ways the individual's needs and wants can be met.
c) Upon being determined eligible for Division of DD services, each individual and/or legal representative, or guardian receives information regarding available services and programs, including information about the waiver. After needs are identified through the planning process, the service coordinator reviews this information once more and together with the individual and the interdisciplinary team specific services and supports are identified to meet the participant's needs.
d) Division of DD Division Directive 4.060 describes the process which service coordinators must follow when developing a service plan. Plans must be written in accordance with Division of DD's Person Centered Planning Guidelines and Missouri Quality Outcomes. The Person Centered Planning Guidelines include a description of

mandatory plan components. Mandatory components include: demographics; health and safety, who and what are important to the person; what staff need to know and do to provide support; requirements of the family of a minor child or guardian, how the person communicates and issues to be resolved. The guidelines contain criteria for action plans including standards for developing outcomes and action steps.
The plan specifies all the services and supports that are needed and who is to provide them, to enable the individual to live the way the individual wants to live and learn what the individual wants to learn. These methods may include teaching, which does not have to be behavioral. Learning can be incidental as long as it is planned. Providing supports or making adaptations to the environment may be part of the plan. The plan specifies any limitations the planning team foresees n being able to support the individual in achieving these desires. Such limitations can be financial, temporal and/or can relate to health and safety.
(e) Division of DD Service Plans address all supports and services an individual is to receive. This includes services provided through the waiver, other state plan services and natural supports. For each need that is expressed, the plan must describe what support or service is being provided to meet that need. Providers selected by the consumer are responsible for providing services in accordance with the plan. The Division of DD service coordinator is responsible for coordinating services provided by other agencies or individuals and monitoring the provision of services during routine monitoring visits.
(f) Each outcome on the plan must be accompanied by information regarding the person(s) responsible for assuring progress. Timelines for completion of each Outcome is specified. Service Coordinators monitor this progress during plan review visits.
(g) Service plans are subject to continuous revision. At a minimum, the entire team performs a formal review at least annually. The service coordinator maintains at least quarterly contact with each individual, their family or guardian. Face to face contact is required for persons in residential placement and at least annually for those persons who live with their family. During quarterly contact, the service coordinator monitors the individual's health and welfare. Progress notes document the contact and whether the outcomes stated in the plan are occurring and whether the outcomes set forth in the Missouri Quality Outcomes are a reality for the person.

Service coordinators are responsible for reviewing the provider's notes at least quarterly, and for observing and documenting any problems, discrepancies, dramatic changes or other occurrences which indicate a need for renewed assessment. The service coordinator's review of the provider notes includes making further inquiries and taking appropriate action if there is reason to believe the person's health or welfare is potentially at risk. During monitoring and record reviews, the service coordinator determines if the plan of care continues to meet the needs of the individual and with the approval of and input from the individual, their family or guardian, and makes any necessary revisions.

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.

The Person Centered Planning Guidelines require that service plan identify risks to individuals to assure their health and welfare. When the person will be learning or doing something that involves increased risk, the plan or action plan will describe: 1) Action taken to assure the person is making an informed choice, including a description of what has been done to assure that the person clearly understands what risks are involved and possible consequences; 2) What the person needs to know and the skills and supports that are necessary for the person to achieve his/her goal; 3) How supports will be provided, skills that will be taught and by whom; 4) What others in the community need to know and do to provide support to the individual; and 5) What follow-up and monitoring will occur.

A Health Inventory assessment may be recommended for Community Support Waiver participants on an as needed basis. The Health Inventory is maintained in the individual's record. All Health indicators identified on the Health Inventory are considered significant and are discussed along with necessary supports in the appropriate section of the service plan. The Service Coordinator is responsible for inclusion of health information in the service plan and consults with the RN with any questions.

Individuals who self direct services are required to include a back up plan in their service plan. Back up plans include a description of the risks faced when emergencies, such as lack of staff arises. The back up plan also identifies what must be done to prevent risks to health and safety; how people should respond when an emergency

occurs; and who should be contacted and when. Back up plans must list at least 2 individuals who will provide support when regular staff is not available.

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.

When more than one provider of service is enrolled as a waiver provider, the participant or legal guardian is given a choice among eligible providers. The service coordinator provides information regarding eligible providers to the individual or guardian during the planning process. The Client Choice of Provider Statement is used for this purpose. Attached to the choice statement is the list of eligible providers for the given service. The Regional Office or Targeted Case Management Entity that is providing service coordination is responsible for ensuring consumer choice of provider statements are obtained and maintained in the individual's case record.

The Division of DD makes every effort to build provider capacity in rural areas. Each regional office has Provider Relations staff designated to work with provider development. If there are limited providers available for a chosen service the Division will work closely with the individual to identify other providers that would be willing to provide the needed service in the area of the state where the consumer resides.

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):

Annually, MO HealthNet selects a statistically valid sample (95% confidence level and a plus or minus 5% margin of error rate) of waiver service plans for review. This review by staff from the State Medicaid Agency ensures individuals receiving waivered services had a service plan in effect for the period of time services were provided. The review process also ensures that the need for services that were provided was documented in the service plan, and that all service needs in the service plan were properly authorized prior to service delivery.

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:

Approved Targeted Case Management Entities that provide service coordination, including service plan development, maintain the service plans of participants for whom they coordinate services.

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.

a.) Monitoring the implementation of the service plan and the participant health and welfare is the responsibility of the interdisciplinary team (Code of State Regulation 9 CSR 45-3.010). This process is facilitated by the service coordinator employed by a Division of DD Regional Office or an approved Targeted Case Management Entity, and designated management staff from the community provider.

b.) & c.) Service plans and participant health and welfare are monitored and follow–up action is taken through the following processes and frequencies:

1.) Service coordinators monitor health, fiscal issues, services and staff, environment and safety, and consumer rights during monitoring visits with the participant, per the Service Monitoring Policy and Implementation Guidelines (Division Directive 3.020). At a minimum of quarterly, the service coordinator monitors the health and welfare of the participant. These quarterly reviews include a review of the service plan to ensure service needs identified in the service plan are being met. The review is accomplished by reading provider progress notes, contact with the individual and/or responsible party, and through observation. If non-waiver service needs are identified in the service plan, the service coordinator determines the person or entity identified in the service plan as responsible for helping the individual access the service(s) and determines if services are being received as planned. Non-waiver services may include health services the individual accesses through State plan Medicaid services. Review of the service plan and the person's health and safety includes a review of the backup plan for participants who self direct. Monitoring considers whether the backup plan has been implemented, and if so, whether the plan sufficiently met the individual's needs and whether all persons and entities named as part of the backup plan are still available to assist. If changes are needed to the backup plan, the service plan will be updated accordingly. Results are documented in a quarterly review note or a case note when the monitoring was not part of the quarterly review process.

When an issue or concern is discovered around an individual's health, safety/environment, rights, money, services, or backup plan, the Service Coordinator supervisor, consumer's guardian and/or the provider's designated management staff are notified. If a concern is not an immediate risk to the person's health or welfare and cannot be quickly resolved then the service coordinator indicates the type of action plan that will be taken to address the issue. Concerns around the sufficiency of the back-up plan shall be immediately resolved which will include a revised service plan. All issues/concerns and action taken are entered in the Division's Agency Planning Tracking System (APTS) for trending and tracking purposes. Service coordinators are employed by the state or by Targeted Case Management entities. Both are responsible for reporting information in the State's Agency Planning Tracking System (APTS) and for maintaining case notes.

If monitoring discovers there is a lack of progress on achieving the outcomes identified in the service plan, the Service Coordinator documents this and works with the individual and the interdisciplinary team to revise and amend the plan as needed. Service plan revisions can only be implemented with the approval of the individual or their guardian.

Visits with consumers participating in on-site day habilitation programs are quarterly. Consumers participating in off-site day habilitation receive quarterly face-to-face visits with at least one annual visit at the off-site location where the service is received.

2.) The Service Plan Review process ensures the individual planning process is person-centered and leads to quality outcomes for individuals. The process also evaluates the effectiveness of support services in meeting individual needs, identifies support service strengths, and areas needing improvement. Each person supported by the Division must have a service plan that meets the minimum criteria described in the Division of Developmental Disabilities Directive 4.060 Individual Service Plan: Guidelines, Training and Review.
Service plans must be reviewed and updated if necessary on at least a quarterly basis. The review and update must also occur when:

a) the person or the person's guardian requests that information be changed or added;.
b) others invited by the person to participate in his/her service plan provide additional information;
c) needs for supports and services are not being adequately addressed;
d) a back-up plan failed or needs to be revised due to a change in the availability of persons named or entities named; or
e) the need for support and service changes.

3) The MO HealthNet Division reviews a statistically valid random sample of waiver participant records annually. The compliance review includes looking at individual service plans. Information reviewed may include the plan of care, level of care evaluation, annual re-determination of the level of care, assessments used to determine the level of care, service reviews completed by service coordinators, provider monthly reviews of the service plan, provider choice statements completed by the consumer, and waiver choice statements completed by the consumer. The review by MO HealthNet ensures all service needs identified in the service plan are being met regardless of the funding source for support. If there is not evidence that a need in a person's service plan is being met, this is a review finding which will be referred back to the regional office or county entity. Depending on the urgency of ensuring the need is met, a phone call may be placed or the request for corrective action will be provided in writing. Federal Programs Division of DD staff is responsible for ensuring that corrective action is taken and for reporting the action to MO HealthNet.

4.) Each regional office and County Board that provides case management is responsible for random reviews of service plans on a quarterly basis to ensure all required components of each service plan is in place.

5)Designated Targeted Case Management (TCM) who have received training in and have knowledge of the individual service plan required components monitor selected plans, including subsequent amendments, and all documentation of monthly progress for the past 12 months. The review is designed to be conducted on a statistically valid sample of waiver participants and to ensure adherence to CMS waiver and Division of DD requirements.

6.) Issues and remediation identified through monitoring, are entered into the Division of DD's Action Plan Tracking Systems (APTS). Reports are shared with the Medicaid Agency annually, upon request, or when critical events related to health and safety occur.

d.) Service coordination monitoring includes ensuring the individual has free choice of provider for all waiver services. Initially a form is completed to reflect choice of provider. If a new service is initiated, or a new provider is identified, the SC would complete a new form to verify provider choice. Quarterly a random sample of individual service plans and associated documentation are reviewed through the Individual Service Plan review survey.

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:*

Some entities that provide service coordination and therefore have responsibility for monitoring service plan implementation and participant health and welfare, may also provide direct waiver services. Service coordinators do not provide other direct services.

The Division of DD has the following safeguards to ensure monitoring is conducted in the best interests of the participant:

1)Participants have the option to choose a different entity to monitor the plan when more than one case management entity is available in the area. Participants also have the option to request a different service coordinator from the same case management entity be assigned.

2)Division Operating Directive, 3.020, Service Monitoring Policy and Implementation Guidelines,sets monitoring standards that all service coordinators must follow in reviewing environment/safety, health, services and staff, money and rights.

3)Service coordinator entities are included in service coordination and waiver related training conducted by Regional Offices.

4)All service coordinator entities are responsible for reviewing a sample of service coordination log activities each month for their staff and for reporting the results to the Division's Statewide Quality Enhancement LeadershipTeam. Some of the log notes in the sample would include results of monitoring activities and any corrective action taken.

5)Monitoring activities are subject to the review of the Division of DD, the operating agency, and the State Medicaid Agency, MO HealthNet. Annually MO HealthNet randomly selects waiver participants for a compliance review. The review includes reviewing plans of care and quarterly reviews from monitoring. Participants served by entities that provide both waiver services and monitor the services are subject to this review.

6)Division of DD Regional Office Quality Enhancement staff review the performance of entities that provide service coordination. The review includes interaction/contact with a sample of individuals and/or their guardians to verify the effectiveness of service coordination they have received. Corrective action is taken if there is evidence a participant has health and welfare issues that have not been met or is dissatisfied with service coordination.

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

a. **Methods for Discovery: Service Plan Assurance/Sub-assurances**
   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/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

      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 plans of care in which services and supports are aligned with assessed needs (Number of in which supports and services are aligned with assessed needs ÷ Total number of waiver participants in the sample)

      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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver participants who have plans of care that address health risks as indicated in the assessment. (Number of waiver participants with plans addressing health risk ÷ Total number of waiver participants with identified health risk in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver participants who have plans of care address their desired outcomes as indicated in the assessment. (Number of waiver participants with plans adequate and appropriate to desired outcomes ÷ Total number of waiver participants in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of waiver participants who have plans of care that address safety risks as indicated in the assessment. (Number of waiver participants with plans addressing safety risks ÷ Total number of waiver participants in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

b. ***Sub-assurance: The State monitors service plan development in accordance with its policies and procedures.***

Performance Measures

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 plans reviewed in accordance with the state's policy for monitoring (number of plans reviewed over the number of plans identified in the sample for monitoring)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of plans reviewed for people who are self-directing that contain a back-up plan (number of plans reviewed containing the back-up plan over the total number of plans reviewed in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of plans in which the person/person's guardian signed and dated the plan prior to implementation (Number of plans where the person/person's guardian signed and dated prior to implementation date over the total number of plans reviewed in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of plans that describe what people need to know or do in order to support the person (Number of plans reviewed that describe what people need to know or do in order to support the person over the total number of plans reviewed in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

c. ***Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.***

Performance Measures

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 plans of care update/ revised at least annually. (Number of Waiver Participants whose plans of care were updated/revised annually [indicated by Service coordinator signature on the person centered plan prior to the implementation date] ÷ Total number of waiver participants in the sample)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of participants who had a change in need and the Plan of care was updated. (Total number of waiver participants whose plans were changed to reflect their needs ÷ Participants who had a change in need)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measures

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 receive services in the type, amount, frequency, and duration specified in their Plan of care. (Number of waiver participants with no issues identified that were related to services being provided as authorized in their plan ÷ Total number waiver participants)

Data Source (Select one):
On-site observations, interviews, monitoring
If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

e. ***Sub-assurance: Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.***

Performance Measures

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 contained an appropriately completed and signed Medicaid Waiver Choice Statement form that specifies that choice was offered between waiver services and institutional care. (Number of waiver participants with a signed Medicaid Waiver Choice Statement ÷ Total number of waiver participants in the sample population)

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 = .95
☐ Other Specify:	☐ Annually	☐ Stratified Describe Group:
	☑ Continuously and Ongoing	☐ Other Specify:
	☐ Other Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of waiver participants whose records contained a completed and signed Medicaid Waiver Client Choice of Provider Statement. (Number of

waiver participants with a signed provider choice statement ÷ total number of waiver participants in the sample.

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of waiver participants who were offered choices of waiver services. (Number of waiver participants offered choice of services ÷ total number of waiver participants in the sample.)

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 = .95
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
(a.1.a, a.1.b., a.1.c., & a.1.e) Service Plan (SP) reviews are conducted by Service Coordinator Supervisors and remediation tracked through a web based survey application. At the time of service plan review, the choice statements are verified. If a plan does not meet criteria set forth in the SP components or the choice statements are not completed, the Service Coordinator Supervisor/designee reviews the finding with the appropriate service coordinator and the error is corrected and noted on the SP review. General methods for problem correction include revising the plan, providing remedial training for the Service Coordinator, point of discussion during unit meetings and/or change in Division policy or procedure. The Service Coordinator Supervisors/designee and regional office/agency director is responsible for determining if personnel actions are needed for individual case managers, including, but not limited to, training or re-training, verbal or written warnings, suspension or termination.

For errors related to service provision , resolution may occur in two different ways. 1) Service coordinator can resolve on site if applicable, or 2) designated Quality Enhancement Staff may be notified for additional follow-up and resolutions. This issue is entered in to the Action Plan Tracking System Database, the follow-up is documented in provider file or consumer case notes. Remediation reported as: completed within 30 days, 31 to 60 days, more than 61 days and not completed.

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**

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

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

◉ **No**

○ **Yes**

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

Appendix E: Participant Direction of Services

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

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

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

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

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

○ **Yes. The State requests that this waiver be considered for Independence Plus designation.**

◉ **No. Independence Plus designation is not requested.**

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

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

a) Expectations for Person Centered Planning, Division Directive 4.060, reflect the values outlined in the Missouri Quality Outcomes. Those outcomes acknowledge principles that people have control of their daily lives, and that plans should reflect how they want to live their life. Person-centered planning is the foundation in which people can determine the direction of their lives, identify the supports they will need, and how those supports should be

delivered to assist them to move in their personally identified direction. The planning process is under the direction of the individual or a representative of their choice. The process identifies needs and how those will be met by both paid and unpaid supports, who will provide the supports, and how supports will be provided within agreed upon parameters.

b) Individuals/guardians or designated representatives may choose to self-direct personal assistant services, community specialist, and support broker services and be the employer though a VFA FMS Services. All Individual's have a service coordinator trained to facilitate the person centered planning process, but they may also use Community Professional or Support Broker for information and assistance in defining goals, needs and preference, identifying and accessing services, supports and resources as part of the person centered planning process which is then gathered by the service coordinator for the Service Plan. Individual/guardians or designated representatives direct how their negotiated individualized budget is to be expended to exercise control of their allocated resources. They have the option to hire a support broker to provide information and assistance in order to help in recruiting, hiring, and supervising staff. The individual/guardian or designated representative is the common law employer with the assistance of a Vender/Fiscal Agent FMS who will perform payroll, taxes, broker workers compensation, etc.

c) Resources available to support individuals who direct their services include the ability of the participant/guardian or designated representative to facilitate the plan or hire an independent person centered plan facilitator. The individual/guardian or designated representative recruits, hires and self-directs employees and performs other employer supervisory duties. Individuals/guardians or designated representatives may hire a support broker or choose a support broker that works for an agency to provide the assistance. Financial management services are available for individuals who self direct. The financial management contractor provides the individual or representative with technical assistance in getting employees set-up for payroll services and in tracking expenditures. Service coordinators are responsible for monitoring: health and safety, ensuring individuals stay within budgeted allocations, and required documentation is created and maintained. Additionally the service coordinator is responsible in informing individuals of the option to Self-Direct. A support broker is an option for individuals who need additional information and assistance in managing and directing their employees. The self-directed supports coordinator is a state employee who is available to provide technical assistance, creating enhancements, tracking and trending, and oversight of the option to self direct.

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 participants 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

Only Personal Assistant, Support Broker, and Community Specialist may be self-directed. For individuals who do not choose to self-direct, waiver services are available through MO HealthNet enrolled waiver provider agencies. Only individuals who live in their own private residence or the home of a family member may self direct.

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

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

a) Individual/guardians or designated representatives learn about self directed support options from the service coordinator during the person centered planning process when needs are identified and ways of supporting the needs are discussed. Self directed supports is listed on the Free Choice of Provider form. Individual/guardians or designated representatives also often learn about self directed services from other individuals or families who are directing their own services. Information on self directed support is included in the waiver manual which is available to the public. The waiver manual and the Individual Handbook on self directed support is also available on the DMH/Division of DD web-site. The information assists service coordinators in describing the benefits and processes for self-direction and provides written material for individuals and/or legal representatives on the specifics. Regional offices has a Self-Directed Coordinator that is available to provide technical assistance and guidance to serivice coordinator and other stakeholders. As part of the person centered planning process, the specialized needs of the individual are discussed with the planning team to identify any potential liabilities or risks the individual may face, and to determine a plan for how each potential liability and risk will be addressed.

b) Developmental Disability Targeted Case Management Entities providing service coordination are responsible for furnishing information on self direct supports options.

c) Developmental Disability Targeted Case Management Entity service coordinators are trained on self directed supports options. If the service coordinator hasn't been through the training, regional office self-directed coordinators may be asked to assist in providing information to the individual with the service coordinator. This information is presented during the person centered planning process when individual needs are identified and ways of supporting the needs are discussed, anytime the individual is dissatisfied with provider based services, or upon inquiry by the participant/guardian or designated representative.

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:

An Individual's Right to Have a Designated Representative

An individual who is 18 years or older has the right to identify a designated representative. The designated representative will assist the individual in their responsibilities as the managing employer of their employee(s), in accordance with the guiding principles of self-determination. If a representative has been designated by a court, the legal guardian will identify themselves or another person as the representative.

A designated representative must:

1. Direct and control the employees' day to day activities and outcomes.
2. Ensure, as much as possible, that decisions made would be those of the individual in the absence of their disability;
3. Accommodate the individual, to the extent necessary, so that they can participate as fully as possible in all decisions that affect them; accommodations must include, but not be limited to, communication devices, interpreters, and physical assistance;
4. Give due consideration to all information including the recommendations of other interested and involved parties; and
5. Embody the guiding principles of Self-Determination
6. Not be paid to provide any supports to the individual.

The following people can be designated as a representative, as available and willing:
• A spouse (unless a formal legal action for divorce is pending)
• An adult child of the participant
• A parent
• An adult brother or sister
• Another relative of the participant
• Other representative— If the individual wants a representative but is unable to identify one of the above, the participant along with their service coordinator, and planning team, may identify an appropriate representative. The other representative must be an adult who can demonstrate a history of knowledge of the individual's preferences, values, needs, etc. The individual and his or her planning team is responsible to ensure that the selected representative is able tp perform all the employer-related responsibilities and complies with requirements associated with representing one individual in directing services and supports.

The planning team and Fiscal Management Service Provider (FMSP) must recognize the participant's representative as a decision-maker and provide the representative with all of the information, training, and support it would typically provide to a participant who is self-directing. The representative must be informed of the rights and responsibilities of being a representative. Once fully informed the representative must sign an agreement which must be given to the representative and maintained in the participant's record. The agreement must list the roles and responsibilities of the representative, the roles and responsibilities of the FMSP, must include that the representative accepts the roles and responsibilities of this function; and state that the representative will abide by the FMSP policies and procedures. The

designated representative must function in the best interest of the participant and may not also be paid to provide services to the participant. The Individual can at any time revoke the agreement with the designated representative.

Service Monitoring takes place with each waiver participant as outlined in Appendix D-2. The monitoring process can lead to identifying issues with the representative not acting in the best interest of the waiver participant.

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.

Participant-Directed Waiver Service	Employer Authority	Budget Authority
Personal Assistant	☑	☑
Community Specialist Services	☑	☑
Support Broker	☑	☑

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 C1/C3**

The waiver service entitled:

◉ **FMS are provided as an administrative activity.**

Provide the following information

i. **Types of Entities:** Specify the types of entities that furnish FMS and the method of procuring these services:

The Division of DD has a statewide contract with a Vendor Fiscal/ Employer Agent (VF/EA) Financial Management Service provider for payroll services including, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance. A single VF/EA Financial Management

Services contractor is responsible for payroll functions. This contractor is also responsible for verifying the citizenship status and background screenings of new workers and making available expenditure reports to Individual. Reimbursement for fiscal management services is an administrative service and not fee for service. The provider is not a governmental entity.

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

The Division pays the Vendor Fiscal/Employer Agent (VF/EA) FMS contractor for services provided with general revenue and seeks reimbursement through the MO HealthNet program as an administrative expense. Fiscal management services are provided through a single statewide contract that is re-bid every 3 years. The contractor is a private company. The contractor has a specific rate for each new worker added, each check written, etc. (by transaction). The contractor is paid for these services with general revenue and records of payments will be submitted for 50% reimbursement as administrative service in compliance with 45 CFR 74. Fiscal management services are not reimbursed based on a percentage of the total dollar volume of transactions it processes. The FMS sends a detailed invoice to the Division of DD monthly for the actual cost.

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:

- [x] **Assists participant in verifying support worker citizenship status**
- [x] **Collects and processes timesheets of support workers**
- [x] **Processes payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
- [x] **Other**

Specify:

The Fiscal Management Service contractor is available for technical support to the participant/guardian or designated representative in completing paperwork to set up as an employer, completing paperwork for each new worker/employee, and facilitates background checks for all new workers for the family; the self directed coordinator or service coordinator may also help with these functions. The Fiscal Management Service contractor maintains an electronic telephone call-in system to record worker time and an internet web-portal where worked time can be recorded. The participant/guardian or designated representative, the employees and staff at Regional Offices, and service coordinator have access to the secure web-based system to view payment information. Individual/guardians or designated representatives can view total amounts authorized, payments made to workers, and balances. Workers can view current payroll information as well as YTD. Regional office staff and service coordination staff can also view authorized amounts, payments, and balances.

Supports furnished when the participant exercises budget authority:

- [ ] **Maintains a separate account for each participant's participant-directed budget**
- [ ] **Tracks and reports participant funds, disbursements and the balance of participant funds**
- [ ] **Processes and pays invoices for goods and services approved in the service plan**
- [x] **Provide participant with periodic reports of expenditures and the status of the participant-directed budget**
- [ ] **Other services and supports**

Specify:

Additional functions/activities:

- [ ] **Executes and holds Medicaid provider agreements as authorized under a written agreement with the Medicaid agency**

- [x] **Receives and disburses funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
- [ ] **Provides 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.

Oversight of the Financial Management Service entities:
a) Individual Directed Services are prior-authorized by the local Regional Office on a monthly or yearly basis based on the service plan. Unit authorizations are sent to the financial management service provider (FMSP) by Central Office on a daily basis (M-F) based on the regional office authorizations. Employees input delivered services through a telephone call-in system, or by entering time through the internet on the FMSP's web-portal. Regional Office staff has access to review information that is input. Employers also have access to the system to approve services and to review their account of authorized and delivered services/dollars. The FMS provider pays workers by direct deposit or a manual check, and calculates, files reports and pays taxes that are due. Employee pay stubs reflecting withholdings from gross payroll are available on-line or sent by regular mail, if requested, to the employee each pay period.

The FMSP prepares payroll reports of payroll-related activity for the employer. A Payroll Register Report, generated per payroll period, quarterly, and year-to-date formats, provides itemized reporting of wages for each employee, total payments, total dollar amounts paid on behalf of each participant employer, service units provided, accrued expenses, and administrative costs. These reports are made available to Regional Offices via the web, or through e-mail. A monthly payroll allocation report is generated by region for each employee providing self-directed services. A Payroll Liability Reimbursement report indicates total costs for each pay period by type of transaction based on negotiated rates. The FMSP provides a report of all project activities to the Division of DD covering for the entire calendar year. This report is due to the Division of DD by January 30 of the following year. The Regional Office reconciles their payment records and escrow account balances. From the data, the Regional Offices' system calculates the unit cost of services and bills the services as waiver services to MO HealthNet. Regional Offices are Organized Health Care Delivery Systems (OHCDS). The FMSP website data bases have built in safety notices that are available to service coordinators and self-directed coordinators if billing is not consistent with the authorization.

b) Participant services are monitored by the Targeted Case Management Entity service coordinator. If concern is noted, the quality enhancement leadership team is asked to conduct a further review.

DMH Central Office also monitors the FMSP to ensure contracted activities in support of self-directed services are completed in an Individual centered, timely, and accurate manner. The FMSP also follows their own internal quality assurance plan to meet accounting controls and performance standards including communications, payroll processing, and reporting. Additionally, the FMSP arranges for an annual external CPA agency audit to insure financial internal controls are followed. This report is shared with Individual for whom the FMSP is providing contracted services.

c) Monitoring by the service coordinator is quarterly, unless there is reason to monitor more frequently. The FMS contractor, as the agent for the participant/guardian or designated representative, receives all correspondence from federal, state and local employment-related tax and insurance entities and continuously monitors for problems. The FMSP shall make available all records, books and other documents related to the contract to DMH, its designee, and/or the Missouri State Auditor in an acceptable format, at all reasonable times during the contract period and for three years after the contract termination. The Missouri's State Auditor's Office routinely reviews all programs for problems when auditing each Division Regional Office and Central Office operations.

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:

Service coordinators, with technical assistance from the regional office self-directed coordinators (as needed), inform individuals of the option of self directing services. The service coordinator assesses the individual's needs, and assures services are prior authorized by the Regional Office. The service coordinator ensures the plan identifies any risks, and describes action to protect the individual's health and safety. The service coordinator can assist the individual in understanding and transitioning services to self-direction.

☑ **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
Independent Living Skills Development	☐
Community Employment	☐
In-Home Respite	☐
Out of Home Respite	☐
Behavior Analysis Service	☐
Personal Assistant	☑
Job Discovery	☐
Crisis Intervention	☐
Co-Worker Supports	☐
Job Preparation	☐
Counseling	☐
Person Centered Strategies Consultation	☐
Communication Skills Instruction	☐
Physical Therapy	☐
Community Specialist Services	☑
Environmental Accessibility Adaptations-Home/Vehicle Modification	☐
Transportation	☐
Assistive Technology	☐
Specialized Medical Equipment and Supplies (Adaptive Equipment)	☐
Speech Therapy	☐

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Support Broker	☑
Occupational Therapy	☐
Professional Assessment and Monitoring	☐

☐ **Administrative Activity.** Information and assistance in support of participant direction are furnished as an administrative activity.

Specify (a) the types of entities that furnish these supports; (b) how the supports are procured and compensated; (c) describe in detail the supports that are furnished for each participant direction opportunity under the waiver; (d) the methods and frequency of assessing the performance of the entities that furnish these supports; and, (e) the entity or entities responsible for assessing performance:

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

k. **Independent Advocacy** *(select one).*

◉ **No. Arrangements have not been made for independent advocacy.**

○ **Yes. Independent advocacy is available to participants who direct their services.**

Describe the nature of this independent advocacy and how participants may access this advocacy:

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

l. **Voluntary Termination of Participant Direction.** Describe how the State accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the State assures continuity of services and participant health and welfare during the transition from participant direction:

If an individual voluntarily requests to terminate individual direction in order to receive services through an agency, the service coordinator will work with the individual or legal representative to select a provider agency and transition services to the agency model by changing prior authorizations based on the individuals needs. The service coordinator and other staff with the Regional Office will make every effort for the transition to be smooth and to ensure the individual is not without services during the transition. If SDS is terminated, the same level of services will be offered to the individual through a traditional agency model.

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 provide-managed services instead, including how continuity of services and participant health and welfare is assured during the transition.

If the planning team determines the health and safety of the individual is at risk, the option of self-directing may be terminated. The option of self-directing may also be terminated if there are concerns regarding the participant/guardian or designated representative's willingness to ensure employee records are accurately kept, or if the participant/guardian or designated representative is unwilling to supervise employees to receive services

according to the plan, or unwilling to use adequate supports or unwilling to stay within the budget allocation.

Before terminating self-direction options, the service coordinator and other appropriate staff will first counsel the individual or legal representative to assist the participant or legal representative in understanding the issues, let the participant or legal representative know what corrective action is needed, and offer assistance in making changes. If the individual/guardian or designated representative refuses to cooperate, the option of self directing may be terminated. However, the same level of services would be offered to the individual through an agency model.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

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

Table E-1-n

	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
Waiver Year	Number of Participants	Number of Participants
Year 1		90
Year 2		110
Year 3		120
Year 4		130
Year 5		130

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*:

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

Specify how the costs of such investigations are compensated:

Division of DD Regional Offices pay the costs. The FMSP obtains the background checks.

- [x] **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.**
- [x] **Determine staff duties consistent with the service specifications in Appendix C-1/C-3.**
- [x] **Determine staff wages and benefits subject to State limits**
- [x] **Schedule staff**
- [x] **Orient and instruct staff in duties**
- [x] **Supervise staff**
- [x] **Evaluate staff performance**
- [x] **Verify time worked by staff and approve time sheets**
- [x] **Discharge staff (common law employer)**
- [x] **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*:

- [x] **Reallocate funds among services included in the budget**
- [x] **Determine the amount paid for services within the State's established limits**
- [x] **Substitute service providers**
- [x] **Schedule the provision of services**
- [x] **Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3**
- [x] **Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3**
- [x] **Identify service providers and refer for provider enrollment**
- [x] **Authorize payment for waiver goods and services**
- [x] **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.

For an individual who is self-directing their services, the planning team determines needs based on gathered assessments, such as the Support Intensity Scale. The participant and their planning team identify how they best meet the assessed needs. The team identifies how these needs can be met through informal supports and other sources. Any needs that cannot be met through these means will constitute the waiver individual budget.

The Utilization Review process reviews the budget along with the service plan to ensure the level of need reflected in the budget is documented in the service plan and that services and amounts of service requested are necessary and consistent with the level of services other individuals who have a similar level of need receive. Historical costs and prior utilization data are also used to project costs and develop the budget. When an annual plan and budget are being renewed, historical costs and prior utilization data become the basis for calculating the new budget.

The participant is notified in writing of the approved budget and plan. The notice includes appeal rights should a individual disagree with the outcome. This process, which is in state regulation, is explained to Individuals by the service coordinator and is available to the public from the State's DMH web-site.

Any time an individual's needs change, the service plan can be amended and a new budget can be prepared. If the new budget results in increased level of funding, the service plan and budget will be reviewed through the Utilization Review process before final approval is granted. If an increase in service are needed immediately an immediate increase can be approved out of the annual budget by the individual or their representative. The team must then meet to determine if an increase in the annual budget is necessary. The person centered planning process including the budgeting process is explained to Individual by the service coordinator. Information on the person centered planning process and the Utilization Review process which is in state regulation, are available to the public from the State's DMH web-site.

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 method used to determine the individual budget is as follows. Needs of the individual are identified in the Service Plan. The individual along with the planning team determines how the needs can be best met through natural supports, or paid supports and a budget is drafted to meet the individual's needs.

The budget and service plan is reviewed by the Utilization Review (UR) Committee. UR considers the budget request in comparison with the level of funding that is approved for other Individual with similar needs and either recommends the Regional Office Director approve the budget or approve the budget with changes.

The participant is notified in writing of the approved budget and service plan. The service plan has to be signed by the individual or guardian to be implemented. The notice includes appeal rights should a

participant disagree with the service plan and budget.

The written notice includes information on the participant's right to a fair hearing and offers help with the appeal process. They may first appeal to the Regional Director. If they are dissatisfied, they have appeal rights through both the Departments of Mental Health and Social Services. While Individual are encouraged to begin with the Department of Mental Health's hearing system, they may skip this hearing process and go directly to the Department of Social Service, MO HealthNet Division (Single State Medicaid Agency) hearing system.

Individual/guardians or designated representatives may request changes to budgets as needs change. For example, they may authorize more services be provided in one month and less in another month. Or, if needs increase, they may request additional services. When additional services are requested, the budget must be approved through the UR process. If an increase in service are needed immediately an immediate increase can be approved out of the annual budget by the individual or their representative. The team must then meet to determine if an increase in the annual budget is necessary.

All Regional Offices administer the UR process according to state regulation.
Individual/guardians or designated representatives served by the Division of DD and providers are provided information on the UR process.

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:

Services are prior authorized on a monthly or yearly basis based on the needs and history of the individual. Individuals/guardians and designated representatives are informed of the amount of service that may be provided within that authorized period. The FMSP provides monthly utilization reports. The FMSP also alerts service coordinators and regional office self-directed support coordinators if individuals go above or below their authorizations.

The service coordinator during service monitoring is responsible to ensure that services are being delivered as they are authorized. If services are being underutilized, the service coordinator will seek to determine the reason for under utilization and will ensure the individual's health and safety are not at risk. The service

coordinator is responsible for ensuring the individual has the necessary support to recruit, schedule and supervise employees and will assist the individual in accessing help as needed. The FMSP has safeguards and notification built in their system with alerts to the service coordinator and self-directed coordinator if an individual goes over authorizations. If an individual has been exceeding the budget authorizations, the service coordinator will counsel and document within the monitoring system and follow up with a plan of correction if needed the individual/designated representative to assist with staying within budget and ensure health and safety needs are met. If it is determined that the individual has been exceeding the budgeting authorization then authorizations can be changed to monthly authorizations, assistance of a support broker can be added or the team may need to discuss termination of self-directed supports and transitioning to traditional provider supports.

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.

Medicaid rights of due process are extended to persons who participate in the DD Comprehensive Waiver. Participants have the right to appeal anytime adverse decisions are made or actions are taken.

When adverse action is necessary such as termination, reduction of services, suspension of services, etc., the service coordinator employed by the Division of DD Regional Office or Targeted Case Management Entity is responsible for notifying the participant in writing at least 10 days prior to any action being taken. Individuals have appeal rights through the Department of Mental Health and Department of Social Services, MO HealthNet Division. While not required to do so, Division of DD Waiver participants are encouraged to begin with the Department of Mental Health's appeal process. The individual may, however, appeal to the MO HealthNet Division, before, during and after exhausting the Department of Mental Health process. However, once the individual begins the appeal process with the Department of Social Services, all appeal rights with the Department of Mental Health end since any decision by the single State Medicaid Agency would supercede a decision by Department of Mental Health.

The individual is informed of the appeal process in the written notice. If the adverse action concerns termination or reduction of services, the individual may request the disputed service(s) be continued until the hearing is held and a decision is made on the appeal. If the result of the agency's decision is upheld, the participant may be required to pay for the continued services. If the agency's decision is overturned, the participant is not responsible for the cost of services. Copies of written notices of adverse action and requests for a Fair Hearing are kept in the individual's record maintained by the regional office or TCM entity.

Individuals are provided information on rights upon entry to the waiver and annually during the person centered planning process. The division has a brochure individuals are given by service coordinators. In addition, information is posed on the division's web-site.

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.

(a) The Missouri Department of Mental Health has an appeal process that can be utilized by consumers. Appeals are directed to the DMH Hearings Administrator in the Office of DMH General Counsel.

The Division of Developmental Disabilities also has a Utilization Review Directive that applies to all Regional Offices. The Utilization Process is to ensure that quality services are fair and consistent statewide, plans reflect individual's needs, levels of services are defined and documented within the outcomes of the plans, and plans meet all requirements. If through the Utilization Review Process the decision of the Regional Office Director results in the denial, reduction, or termination of a specific service then the individual must be informed in writing at least 10 days in advance of the adverse action, must be given the reason for the action, and must be given information on his/her rights to appeal the decision of the Regional Office Director.
(b) If an individual is notified by a Regional Office that they are ineligible for services or ineligible for continued services they may appeal the decision. (See below appeal process) If an individual is eligible for some services but not for a specific service the appeal steps are the same (as below) except that the individual must first appeal to the case management supervisor before appealing to the regional office director. The individual must appeal to the case management supervisor in writing or orally within 30 days after being notified that they are ineligible for the specific service.
Appeal Process: The individual must appeal within 30 days after they receive written notice of their ineligibility to the Regional Office Director. The individual receives the Regional Office Director's decision on the appeal within 10 working days after the appeal is received. If the individual does not agree with the Regional Office Director's decision the individual can, within 30 days after receiving that decision, notify the Regional Office intake or case management staff and request that an appeals referee hear their case. The individual will receive written notice that the Regional Office received their request for an appeal hearing. The appeals referee then notifies the individual in writing with the date, time, and location of the hearing. The notice is given to the individual at least 30 days before the hearing and no more than 60 days after the individual first requested the hearing.

An individual may receive without charge documents that relate to their appeal. The documents shall be furnished to the individual within five (5) working days after the individual requests the documents. The appeals referee bases his or her decision only on information presented at the hearing. The Regional Office Director must convince the referee that the regional office's denial of services was correct.

During the hearing the individual, the individual's representative, or the Regional Office Director may speak, present witnesses, submit additional information relating to the appeal, and question witnesses. The referee records the hearing and the tape is kept for one (1) year after the hearing and is available for review by the individual or their representative. Within 30 days after the hearing the individual receives written notice of the referee's decision.

If the individual disagrees with the referee's decision he or she may request that the decision be reversed or changed or appealed to the Director of the Department of Mental Health. Within 30 days of the decision, the referee may reverse or change the initial appeal decision at the request of the individual, the individual's representative, or the Regional Office Director.

If the individual appeals to the department director the individual, the individual's representative, or the Regional Office Director may present new evidence or comment on and object to the hearing decision within ten (10) working days of the individual's notice of appeal. The department director considers evidence contained on the tape recording of the appeals hearing and considers other evidence presented. Within 20 working days after receiving notice of an individual's intent to appeal the department notifies the individual and the Regional Office Director of the department director's decision. That notice is the final decision of the Department of Mental Health.

If the individual disagrees with the decision of the director of the Department of Mental Health he or she may appeal to the Circuit Court, according to Chapter 536 of the Revised Statutes of Missouri (RSMo).

(c.)Individuals can at any point in the Department of Mental Health appeal process appeal to the Department of Social Services, MO HealthNet Division. However, once an appeal is filed with the Department of Social Services, all appeal rights with Department of Mental Health cease since Department of Social Services is the single State Medicaid Agency and any decision through that agency would supercede a decision made by the Department of

Mental Health. Consumers and/or responsible parties are informed this dispute resolution mechanism is not a pre-requisite for a fair hearing.

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:

Missouri Department of Mental Health

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).

The Office of Constituent Services (OCS)was created in 1997 to serve as an advocate for individuals who receive services from the Department of Mental Health and their families. The office provides support to consumers and family members who have developmental disabilities, substance abuse problems, and mental illnesses. The main goals of the office are to ensure consumer rights are not being violated; to review reports of abuse or neglect; and to provide useful information to consumers and family members about mental health issues.

(a) Individuals and family members may contact the office about suspected abuse, neglect, violation of rights, or concerns regarding mental health facilities or community providers by calling the toll-free number, completing and mailing a complaint form, sending an email to Office of Constituent Services, or writing to the Department of Mental Health, Office of Constituent Services. Division of DD Directive Number 3.050 addresses the complaint process summarized below. Individuals are informed that the DMH complaint resolution mechanism is not a prerequisite or substitute for a fair hearing through the Medicaid Agency.

(b) & (c) When a complaint is received in the Office of Constituent Services the staff notifies the Division of DD's Quality Enhancement Leadership team as soon as the complaint is processed. All complaints received by the Office of Constituent Services are emailed/copied to the Division of DD Quality Enhancement Leadership team. The Office of Constituent Services includes the Consumer Affairs Tracking System (CATS) number on all correspondence for tracking purposes and includes the CATS number in the subject box of the email.

Before the Division of DD is notified of a complaint the Office of Constituent Services checks the Customer Information Management, Outcome and Reporting (CIMOR) System to verify the consumer or service is associated with the Division of DD before forwarding the complaint to the Division of DD.

(1) The designated Division of DD's Quality Enhancement Leadership Team member either emails and/or faxes information regarding the complaint within one working day to designated regional office and habilitation center staff.

(2) The Regional Office Director/Habilitation Center Superintendent or their designee determines and responds in writing to the Quality Enhancement Leadership Team member within 48 hours of receipt of the complaint. The response must specify immediate action that was taken to assure the consumer's health, safety, and rights.

(3) The Regional Office Director or designee determines in 48 hours if: (i) An Abuse/Neglect investigation is warranted, by identifying the Event Management Tracking system (EMT) number assigned, or (ii) An inquiry is warranted, by identifying the EMT number assigned. (An inquiry is initiated when it is determined the complaint fails to provide enough information to determine whether or not the incident involves or meets the criteria for abuse/neglect). (iii) If there is no suspicion of Abuse or Neglect, the information regarding the complaint is forwarded within 10 working days to the local Quality Enhancement member with information that includes who was contacted, when and how, the response to the contact; any follow-up that was, or is being done; and location of documentation related to the complaint. This information is sent to the local Quality Enhancement member, who reviews the information for completeness. If the local Quality Enhancement member has questions, the response is returned to the Regional Office for clarification. Once the issues are adequately addressed, the complaint is considered resolved. The local Quality Enhancement member forwards the information to the Division of DD

central office designated coordinator of telephone complaints, who then forwards the completed information to the Office of Constituent Services within 1 working day.
(iv) If the person is not a DMH consumer or DMH does not have investigative authority and Abuse or Neglect is suspected, the Regional Office /Habilitation Center calls Family Support Division (FSD) if the individual is younger than 18 or Department of Health and Senior Services (DHSS) if the individual is 18 or older. The complaint is considered resolved upon referral to the appropriate investigative authority. (v) A complaint is not considered valid, if there is no apparent violation of a DMH standard, contract provision, rule or statute, or there is no valid concern that a practice or service is below customary business or medical practice. If the complaint is not valid it is considered closed upon receipt of the response.

(4) Follow-up of investigations and inquiries are tracked by the Division of DD through the EMT process. The Quality Enhancement Leadership team member is responsible for assuring that the process for investigations and inquiries is followed, and that the completed information is forwarded to the Division of DD central office designated coordinator of telephone complaints. Once the investigation or inquiry is completed, Office of Constituent Services is notified and the complaint is considered closed.

A complaint is resolved when: a) an investigation or inquiry is completed and descriptive information is entered into EMT; b) all information in (3) above is provided and the issues in the complaint are addressed; c) the complaint is referred to the appropriate investigative authority; or d) the reason the complaint is not a valid concern is explained. Consumers and responsible parties are informed this dispute resolution mechanism is not a pre-requisite for a fair hearing.

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:*

- [x] **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).

System:
The state has a system for reporting and investigation of critical events or incidents. The system for identifying, reporting, and investigating critical events and incidents is outlined in the Code of State Regulations, the Department of Mental Health Operating Regulations and Division of Developmental Disabilities Directives.

Serious incidents:
In accordance with Department Operating Regulation 4.270 and Code of State Regulation 9 CSR 10-5.200 and 10-5.206, the state requires the reporting and investigation of critical events and incidents by all employees of state facilities and community contracted providers.

Critical events that are required to be reported are;
(A) Death of a consumer suspected to be other than natural causes;
(B) Serious injury to a consumer;
(C) Death or serious injury to a visitor at department state operated facilities;
(D) Death or serious injury to a department employee or volunteer while on duty;
(E) Incidents of abuse/neglect, including abuse/neglect involving death, serious injury and sexual abuse;
(F) Suicide attempt resulting in an injury requiring medical intervention (greater than minor first aid);

(G) Elopement with law enforcement contacted or involved;
(H) Criminal activity reported to law enforcement involving consumer as perpetrator or victim when the activity occurs at a facility. If not at a facility, then the criminal activity is serious (felony, etc.);
(I) Fire, theft, or natural disaster resulting in extensive property damage, loss or disruption of service and;
(J) Any significant incident the facility head, district administrator, provider administration or designee decides needs to be reported.

In addition, all waiver contracted providers are required to report to their regional office incidents of;
- o Choking – which resulted in emergency medical intervention or hospitalization
- o Violation of Client Rights
- o Falls
- o Ingestion of Non food items
- o Physical Altercations (consumer & consumer) & (consumer & non-staff)
- o Possession of a weapon
- o Sexual Conduct- consumer/non-consensual
- o Sexual Conduct- consumer & staff
- o Vehicular Accident
- o Consumer self harm, graphic threat of harm and seizures are reported if unusual and not being addressed in the service plan; or if there is an injury, or an allegation/suspicion of abuse or neglect.

The state defines abuse and neglect as:

Neglect- Failure of an employee to provide reasonable or necessary services to maintain the physical and mental health of any consumer when that failure presents either imminent danger to the health, safety or welfare of a consumer, or a substantial probability that death or physical injury would result.

Misuse of funds/property- The misappropriation or conversion for any purpose of a consumer's funds or property by an employee or employees with or without the consent of the consumer or the purchase of property or services from a consumer in which the purchase price substantially varies from the market value.

Physical abuse- An employee purposefully beating, striking, wounding or injuring any consumer; in any manner whatsoever, an employee mistreating or maltreating a consumer in a brutal or inhumane manner; or an employee handling a consumer with any more force than is reasonable for a consumer's proper control, treatment or management.

Verbal abuse- an employee making a threat of physical violence to a cosumer, when such threats are made directly to a consumer or about a consumer in the presence of a consumer.

Sexual abuse- Any touching, directly or through clothing, of a consumer by an employee for sexual purpose or in a sexual manner.

Who must report:
- Contracted providers of DD services notify the Department with a written or verbal report of all required incidents immediately unless otherwise specified on form DMH 9719 B. If a verbal report either by phone or in person is given, the contracted provider must send a completed report on form DMH 9719 B to the Department the next working day.
- The Code of State Regulations (9CSR 10-5.206 and 9CSR 10-5.200) requires that any director, supervisor or employee of any residential facility, day program or specialized service, that is licensed, certified or funded by the Department of Mental Health immediately file a written complaint if that person has reasonable cause to believe that a consumer has experienced an incident affecting the health, safety or welfare of a consumer; or has been subjected to abuse or neglect while under the care of a residential facility, day program or specialized service.
- For all Department employees, complaints of abuse, neglect, or misuse funds/property shall be reported and investigated as set out in Department Operating Regulation 2.205 and 2.210. These reports shall be entered into the Event Management Tracking System (EMT) database within 24 hours or by the end of the next working day after the incident occurred, was discovered, or the notification was received.

Timeline:
All serious incidents including suspicions of abuse and neglect shall be reported immediately.

Method of reporting:

These incidents may be submitted in writing or verbally reported to DD Regional Office and Central Office employees. Any verbal report must be followed up with a written report form. There is a standardized Community Event Form.

Processing of reports:

• Event reports are forwarded to the head of the facility, day program or specialized service, and to the DD regional office. All reports of incidents are processed through the Regional Office. The Regional Office assures proper notification of Law Enforcement (when required), Division of Health and Senior Services (when required) and Children Division (when required). If a report of suspected abuse and neglect is received, the DD Regional Office designated employee is also responsible for notifying the complainant and parent/guardian.

• The Regional Office requests an investigation through the Department of Mental Health centralized Investigations Unit for all allegations of: Physical abuse, Verbal Abuse, Neglect, Misuse of Client Funds/Property, and Sexual Abuse.

• In the case of a death the Department of Mental Health notifies the Executive Director of Missouri Protection & Advocacy Services via e-mail of all consumer deaths that involve any or all of the following:

a. Death resulting from a consumer being restrained and/or secluded;
b. Death resulting from suicide;
c. Death deemed suspicious for abuse or neglect;
d. Any unexpected death; or
e. Death with unusual circumstances.

Information provided to Missouri Protection & Advocacy Services via e-mail to the Executive Director includes:

a. Consumer's name;
b. Consumer's guardian, if one is appointed;
c. Contact information for guardian;
d. Consumer's Social Security Number;
e. Consumer's date of birth;
f. Consumer's date of death

Regional Office Directors, or designated staff, are required to report such deaths to their Division Directors (for community deaths) or the Director of Facility Operations (state operated) within 24 hours of notification of death.

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.

Training and information:

o Service Coordinators annually provide training and education by reviewing a Client Rights brochure with consumers and guardians. The brochure specifies rights consumers receiving services through the Division of DD have under Missouri state law (Sec. 630.15, RSMo.) The brochure also informs consumers and their parents or guardians, they can contact the DMH Office of Constituent Services if they think they are being abused, neglected, or have had rights violated. Contact information includes e-mail address, a toll-free phone number and a toll phone number, fax number, and mailing address. Service Coordinators also obtain annually a signed Client's Rights Receipt to demonstrate rights information was provided to the consumer or legal guardian.

o The Missouri DMH has a web site www.dmh.mo.gov which provides consumers and families a link to the Office of Constituent Services where information about consumer rights, detecting and reporting abuse & neglect, the abuse/neglect definitions, and the Reporting and Investigation process which includes contact information. The DMH Client Rights brochure and other information regarding consumer rights and abuse/neglect is posted on this web site at http://dmh.mo.gov/constituentservices/index.htm The site also has a consumer safety video at this site which discusses abuse and neglect and the reporting and investigation process, as well as the brochure Keeping Mental Health Services Safe which is a written version of the video.

o The brochure on Individual Rights of Persons Receiving Services from DD is located at http://dmh.mo.gov/docs/dd/indrights.pdf

Who is responsible:

o Assigned Division of DD or Targeted Case Management entity Service Coordinators as discussed above.

o The Division of DD Consolidated Contract requires that each provider gives participants the name, address, and phone number to the DMH Office of Constituent Services. Each consumer is informed that they have the right to

contact this office with any complaints of abuse, neglect, or violation of rights.

Frequency of training:
o Annually with each consumer.

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.

Entities Receiving Reports:
Each Regional Office receives all written community event reports from contracted providers.

Report evaluation:
Reports are individually evaluated against set criteria for referral to the appropriate entity. The criteria for referral is as follows:
o All suspicions of abuse and neglect, and misuse of funds are referred to the Department of Mental Health Central Investigations Unit.
o If the provider reporting a critical event is responsible for oversight/safety of the consumer, action must be taken to assure the welfare of the consumer. The Regional Office may intervene by placing monitoring processes and staff at the program site, moving individuals from a home and/or terminating contract when appropriate.
o If there is an allegation of abuse or neglect and the alleged victim is a resident or client of a facility licensed by the Department of Heath and Senior Services (DHSS) or receiving services from an entity under contract with DHSS then phone referral is made DHSS,
o If there is an allegation of abuse or neglect and the alleged victim is under 18 years of age a phone referral is made to Missouri Department of Social Services/Children's Division
o If there is alleged or suspected sexual abuse; or abuse and neglect that results in physical injury, or abuse/neglect or misuse of funds/property which may result in criminal charge this is reported to local law enforcement.
o Missouri Protection and Advocacy is notified by e-mail of all consumer deaths that involve any or all of the following;
- Death resulting from a consumer being restrained and /or secluded
- Death resulting from suicide
- Death deemed suspicious for abuse or neglect
- Any unexpected death; or
- Death with unusual circumstance.

Entity responsible for conducting investigations & timeframes:
Upon receipt of a report from the head of the Regional Office, or designee, the Central Investigations Unit assigns an investigator immediately. The assigned investigator initiates contact with the provider to arrange for securing evidence and such other activities as may be necessary.

A final report of the findings is sent to the Regional Office within 30 working days. Upon receipt of the final report the Regional Director has 20 calendar days to make a determination. If the determination substantiates abuse or neglect the alleged perpetrator is notified by certified mail. The contracted provider is also notified in writing, required to take appropriate action, and must report an acceptable plan of correction to the Regional Office by a specified date. Further details including the appeals process are described in Department Operating Regulation 2.210.

Informing Participant:
The Regional Office notifies the consumer/guardian by mail within 5 working days from receipt of an allegation if an investigation has been initiated. Immediately after an investigation is completed and after the effective date of any disciplinary action, the Regional Office provides written notification to the consumer/guardian of the findings of the investigation, a summary of the facts and circumstances and actions taken, except that the names of any employees or other consumers shall not be revealed.

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.

Entity for overseeing incident management system:
The operating agency (Missouri Department of Mental Health, Division of DD) is responsible for the oversight of

the state's incident management system which currently includes one database: Event Management Tracking System (EMT). All critical incidents as defined in G 1-a, investigation findings and timelines are input into the EMT system.

Process of communication:
Service Coordinators receive community event reports from contracted providers, and actions taken to protect the health, safety, and rights of the participants and to prevent reoccurrence.

Data collection:
o Designated Regional Office Quality Enhancement Staff analyze aggregate reports of incidents from the EMT database at least quarterly, identifying trends and patterns. These identified trends are incorporated into provider Quality Management Plans, plans of correction, and/or the participant's plan of care as indicated.
o Incident data is reported in related performance measures to the Medicaid Agency quarterly.

o When there are consistent repetitive concerns or lack of progress on plans of correction, the stakeholders of the provider are notified including the MO HealthNet Division (state Medicaid agency), DMH Licensing and Certification, or the accrediting body (CARF or The Council on Quality and Leadership.)
o At least annually the Division of DD Quality Enhancement Leadership Team prepares a statewide report which includes quality assurance and improvement recommendations to prevent reoccurrence of patterns, trends and systemic issues. Findings and recommendations are submitted to the Division Director of DD.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 2)

a. **Use of Restraints or Seclusion.** *(Select one)*:

☐ **The State does not permit or prohibits the use of restraints or seclusion**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restraints or seclusion and how this oversight is conducted and its frequency:

☒ **The use of restraints or seclusion 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 or Seclusion.** 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 or 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).

Seclusion and mechanical restraints are not used in community settings. Chemical restraint is not used with this population. Physical restraint may be permitted. Physical restraint is any manual hold of one person by another which restricts voluntary movement. Physical restraint does not include physically guiding a person during activities such as skill training.

Physical restraint that is permitted includes only techniques that are taught in nationally-recognized curricula approved by the Division. Any staff implementing physical restraint techniques must be trained according to an approved curriculum. A component of these curricula includes information regarding de-escalation and re-direction techniques to be used prior to implementation of physical restraint. In addition to those general concepts, staff is also required to have knowledge of the individual's personal plan which may include additional specific techniques to employ with the individual to avoid situations escalating to physical restraint use. Physical restraint is used only in an emergency situation where all other less restrictive interventions are tried first and found ineffective; there are clear indications of imminent harm to the individual or others; and is included in the person's safety crisis plan. During the use of physical restraint, staff must monitor for intended and unintended effects, including any adverse reactions, the individual's breathing, consciousness, position of limbs.

There are prohibited restraint techniques that include physical restraint that interferes with breathing;

any technique in which a pillow, blanket or other item is used to cover the face; prone restraint; restraints which involve staff lying or sitting on top of a person; and those that use hyperextension of joints.

The Division of Developmental Disabilities supports the use of Positive Behavior Supports concepts. Staff is required to have an introduction to the concepts upon hire and, again, knowledge of the individual's personal plan which, if indicated for the individual, would include the positive supports to be implemented. Positive Behavior Supports are also designed to mitigate the use of restraint.

The Division of Developmental Disabilities has policies governing the use of restraint. In addition, each contracted provider is required to have a policy for its organization around restraint. During Certification surveys, these policies are reviewed for content and compliance with state requirements. In addition, providers who are accredited by a nationally-recognized body must meet the standards outlined by that accrediting body, including any related to the use of restraint. Accredited providers are required to submit their current accreditation report and thus the Division is informed of conformance to those standards.

Through the Department of Mental Health's incident and injury reporting system -- Event Management Tracking (EMT) – situations in which restraint is utilized is reported to the Regional Office and entered into the EMT system. Reporting is governed by Missouri administrative rules, known as Code of State Regulations (CSR). The Service Coordinator is the designated staff who initially receives the reports and, as first reviewer, can identify unauthorized use of restraints. The division utilizes an Events Management Tracking (EMT) system to track reportable events in accordance with state regulation 9 CSR 10-5.206. An EMT Community Event Report is completed by the persons involved in the physical restraint if it results in a reportable event (as listed on the EMT form), signed off on by management staff from the provider then sent to the Regional Office for entry into the EMT system. The service coordinator could also discover an unauthorized restraint was used through Service Monitoring (i.e. in conversation with the individual/staff, review of progress notes, etc.) A service coordinator could determine that the restraint is unauthorized if it is not implemented as outlined in the individual's safety/crisis plan or it is a restraint that is not approved by the Division per the Department Operating Regulation (DOR). If the service coordinator suspects or it is alleged that more force was used than is reasonably necessary when using restraint, they would submit a Community Event Report to be reviewed as suspected/alleged abuse/neglect.

Data is aggregated by region, by provider and by individual, analyzed and reported quarterly to further identify patterns and trends of use, both for consumer and for provider. Data is reported in related performance measures to the Medicaid Agency quarterly.

Use of any restraint technique must be reviewed by the Behavior Support Committee, which includes individuals with expertise in behavior intervention strategies. Each Division of DD Regional Office has a Human Rights Committee that reviews rights issues, including those related to restraints.

ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of restraints or seclusion and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

The Department of Mental Health, Division of DD is responsible for overseeing the use of restraints and ensuring the State's safeguards are followed. The Service Coordinator is the designated staff who initially receives incident reports and, as first reviewer, can identify unauthorized and/or patterns of use. The use of authorized and unauthorized restraints also may be detected during visits with participants and/or service sites quarterly by the service coordinator through services monitoring, the Regional Office RN if a health referral is made, Regional Office Quality Enhancement staff or other Regional Office staff.

State and regional QE staff aggregate incident (EMT) data by region, by provider and by individual, analyzed and reported quarterly to further identify patterns and trends of use, both for consumer and for provider. Further inquiry by the Regional Office staff will occur if trends or patterns of overuse, unauthorized use and/or ineffective use are noted. If trends for a participant are identified, the Service Coordinator and planning team address those. If trends by provider are identified, improvement plans are required from the provider by the Regional Office or, if there are incidents of critical status, the Regional Office develops a plan for the provider. Plans are monitored by the Regional Office and if

there is no improvement then the provider can be placed on conditional certification status or their contract can be terminated.

Every two years a review by Licensure and Certification (L&C) staff of personnel records is completed as a component of the certification process to assure all staff have received the needed training regarding the individual plan, the basic concepts of Positive Behavior Support, and an approved physical crisis management system such as MANDT or CPI, if restraint is used for the individuals supported by the provider. The L&C staff also reviews policies and procedures for compliance with state requirements. L&C staff also conducts consumer record reviews which can identify unauthorized use of restraint.

Data regarding individuals involved in unauthorized use of restraint is reported to MO Health Net quarterly. Providers who are placed on conditional certification status are reported to MO HealthNet as it occurs. Any contract termination is reported to MO HealthNet as it occurs.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 2)

b. Use of Restrictive Interventions. *(Select one)*:

☐ **The State does not permit or prohibits the use of restrictive interventions**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

☒ **The use of restrictive interventions is permitted during the course of the delivery of waiver services**
Complete Items G-2-b-i and G-2-b-ii.

i. **Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the State has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

Each staff person is trained on the individual's service plan, behavior support plan, and crisis/safety plan prior to implementing any individual restrictive interventions. Any staff utilizing restrictive interventions is required to be trained and competency-tested in MANDT or CPI or other Division approved physical crisis management system. Staff implementing any individual restrictive interventions are also required to be trained in Positive Behavior Support.

Any limitations or interventions imposed with regard to the restriction of participant movement, participant access to others, locations or activities, and restriction of participant rights must be approved by the Human Rights Committee and documented in the individual's plan.

The state does not allow the use of: aversive stimuli/aversive conditioning; any restrictive procedure used as punishment or for staff convenience; corporal punishment; use of totally enclosed cribs or barred enclosures; overcorrection (requiring the performance of repetitive behavior); or any strategy that may exacerbate a known medical or physical condition, or endanger the individual's life, or is otherwise contraindicated for the individual by medical or professional evaluation.

The state does allow time-out, only after less restrictive techniques have been attempted and found ineffective. Time-out must be described in the behavior support plan; a functional assessment must be completed prior to inclusion in the plan; is time-limited; areas utilized must be safe and comfortable; must be continuously observed by staff; and cannot be locked.

Less restrictive techniques, such as de-escalation, discussion, re-direction, for example, must be attempted before implementing any restrictions. Missouri State Statute outlines consumer rights and

communication of any restrictions of those rights. If necessary for the individual's habilitation or therapeutic care, visitors, phone calls, clothing choices, carrying money on their person, television programming or reading materials and outdoor recreation may be restricted. The participant and guardian must be included and informed; and the criteria for removing any restrictions and timelines for reviewing must be documented in the individual's plan. For each episode in which restrictive interventions as outlined in the plan are implemented the following must be documented in the daily observation note: the circumstances and the situation, the less restrictive measures that were attempted, and the implementation of the restrictive intervention. Any restrictions are reviewed by the Regional Office Human Rights Committee.

Any participant who has a grievance regarding their rights may appeal to the Department of Mental Health, Office of Consumer Safety. In addition, any complaints can be reported to the Office of Consumer Safety through the toll-free telephone line, through a dedicated e-mail address or by letter, and those complaints are followed-up.

Any of the Division's quality management functions may identify unauthorized use of restrictive interventions; these functions include quarterly service monitoring; nursing referrals; service plan reviews; complaints process; Licensure and Certification surveys; and quality enhancement reviews.

ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

The Service Coordinator is the designated staff who initially receives incident reports and, as first reviewer, can identify unauthorized and/or patterns of restrictions. The use of authorized and unauthorized restrictions also may be detected during visits with participants and/or service sites quarterly by the service coordinator through services monitoring, the Regional Office RN if a health referral is made, Regional Office Quality Enhancement staff or other Regional Office staff.

The operating agency is responsible for the oversight of the state's DMH incident management system CIMOR/EMT. All reported incidents are entered into the DMH CIMOR/EMT system.

• Service coordinators conduct quarterly reviews of the service plan.

• Division of DD Regional Office Quality Enhancement staff reviews reported data for patterns and trends quarterly. If a pattern or a trend is discovered for an individual consumer, the plan is reviewed and, if necessary, revised. If a pattern or a trend is discovered more broadly for a provider, an improvement plan is put into place.

• Division of DD state-level Quality Enhancement staff aggregates data quarterly and reports through related performance measures to MO HealthNet. They also provide an annual summary of the EMT data to the Division.

• Licensure and Certification (L&C) staff review the policies and procedures and incidents of providers subject to licensure and certification every two years. In addition, L&C staff do consumer record reviews as a component of the biennial survey, to see required documentation and can pick up unauthorized use of restrictions.

• Any participant who has a grievance regarding their rights may appeal to the Department of Mental Health, Office of Constituent Services. In addition, any complaints can be reported to the Office of Constituent Services through the toll-free telephone line, through a dedicated e-mail address or by letter, and those complaints are followed-up.

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.

Individuals served under this waiver live in their natural homes and any medication issues are managed, monitored and addressed by parents, other family members, treating physician and therapists involved with the individual's services.

Services in which limited medication-related responsibilities might be assumed by a provider would be day habilitation, personal assistant, and out of home respite. The medication would be provided by the family. The provider would not be prescribing, ordering, obtaining medication or changing medication orders during the short duration of services in this waiver, but may be administering medication per physician order.

According to MO Division of Developmental Disabilities Directive 3.020-Service Monitoring-individuals participating in on-site or off-site day habilitation, personal assistant, respite care will have quarterly face-to-face visits to monitor health, environment/safety, consumer rights, staff and services, money, and satisfaction of services with documentation in a log note. These are the services within this waiver where the provider may have a role in medication administration. Service coordinators conduct second line monitoring at the site of services with the individual quarterly. If needed, Quality Enhancement Registered Nurses are available to the service coordinator for consultation regarding medication issues.

Contracted providers, service coordination entities and state staff are required to report medication errors as a component of the EMT reporting system medication, if a provider administers medications, the provider would report any medication errors or adverse reations to the family and via an EMT community event report to the regional office for entry into the EMT system. Medication errors are reviewed quarterly by Regional Office QE staff for patterns and/or trends by consumer and by provider. Regional Office staff coordinate follow-up of any participants or providers where concerns are identified. Referrals can also be made for additional review by the RN. As part of a requested review or consultation, the Regional Office RNs are able to evaluate medication usage patterns and drug/drug and drug/food interactions through use of web-based resources such as the MO HealthNet Division's CyberAccess program and drug interaction web programs. (CyberAccess is a web-based HIPAA-compliant portal which acts as an electronic health record for Medicaid participants for the state Medicaid agency; medication history can be viewed through this portal.)

The state Health and Wellness Coordinator aggregates data state-wide and by region on medication errors and reports results to Division management, regional offices and MOHealth Net quarterly.

Every two years Department of Mental Health, License and Certification (L&C) Unit staff surveys contracted providers that are subject to licensure or certification; for this waiver that would be primarily for day habilitation services. The survey includes a review of medication management; including administration, storage and documentation of medications, as well as verification of training for the staff administering medications. Any areas out of conformance with standards require a plan of correction and follow-up to assure the plan was implemented and corrections made. If continuing non-conformance is found, or the provider fails to make the needed changes, the provider may be placed on conditional certification status.

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.

Regional Offices have Quality Enhancement RNs who may receive referrals from Service Coordinators for any issues discovered with participant's medication regimen. As part of a requested review or consultation, the Regional Office RNs are able to evaluate medication usage patterns and drug/drug and drug/food interactions through use of web-based resources such as the MO HealthNet Divisions "CyberAccess" program and drug interaction web programs.

Findings discovered in the state and provider level of monitoring medication management are entered into a statewide database; and reported medication errors are entered in the EMT system. At least quarterly, the Regional Office Quality Enhancement staff analyzes regional data from the statewide databases for trends and patterns, and shares the analysis with provider agencies; identified issues may result in Provider Quality Improvement Plans as well as modified participant service plans. The Regional Office QE staff also coordinates to assure follow-up on identified trends and/or harmful practices.

At least annually the State Quality Enhancement Leadership Team analyzes statewide data for trends and patterns; this analysis may result regional or state Quality Enhancement initiatives to address identified issues. This includes analyzing data from the reported events, abuse/neglect investigations, and Licensing and Certification reports and the Action Planning Tracking System (APTS-the data base which contains results of monitoring activities). These data systems can provide specific information in regards to patterns, trends, and potential harmful practices in medication management.

The State and Regional Office sites have access to the MO HealthNet CyberAccess program. CyberAccess is a web-based HIPAA-compliant portal which acts as an electronic health record for Medicaid participants for the state Medicaid agency; medication history can be viewed through this portal. The CyberAccess program allows qualified Division of DD staff to view a participant's full medication regimen in the MO HealthNet system to ensure the appropriateness, types, and usage patterns.

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).

If medications are administered during receipt of day habilitation, personal assistant or out-of-home respite, Missouri Code of State Regulations (CSR) contains requirements for training of medication aides which would apply to these services. 9 CSR 45-3.070 requires that individuals who administer medication or supervise self-administration of medication to participants must be either a licensed physician, licensed nurse, or must have certification as a Division of DD or DHSS Level I Medication Aide or Medication Technician as a required prerequisite.

The nature of this waiver is that the participant would self-administer or family may administer medication. If staff monitor self-administration during the participant's receipt of day habilitation, personal assistant or out-of-home respite, the same training criteria are required. All consumers are encouraged to learn and participate at the highest possible level with administration of their medications; supports needed for self-administration of medications are included in the participant's service plan.

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:

In addition to appropriate follow up with medical professionals in response to medication errors, providers are responsible for documenting and reporting medication errors to their designated State Division of DD Regional Office in accordance with Event Reporting regulation 9 CSR10-5.206. In addition, any action taken should be reported.

(b) Specify the types of medication errors that providers are required to *record:*

In accordance with 9CSR 10-5.206, Report of Events, the following medication errors must be recorded:
• Failure to administer;
• No physician Order;
• Wrong Dose;
• Wrong Medication;
• Wrong Route;
• Wrong Person;
• Wrong Time; and
• Medication administered with a documented allergy to medication.

(c) Specify the types of medication errors that providers must *report* to the State:

In accordance with 9CSR 10-5.206 Report of Events, providers are required to report medication errors meeting the policy definitions of:
• Failure to Administer;
• No Physician Order;
• Wrong Dose;
• Wrong Medication;
• Wrong Route;
• Wrong Person;
• Wrong Time; and
• Medication Administered with a Documented Allergy to Medication.

Reports must be submitted immediately. When a verbal report either by phone or in person, is given, it must be followed-up by sending a completed written report on form DMH 9719 B to the Department by the next working day. The report includes any follow-up action taken as a result of the medication error.

☐ **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.

Oversight is conducted by the operating agency, Division of DD. In accordance with 9 CSR 10-5.206, medication errors are reported to the DD regional office using the standardized community event form. These reports are entered into the statewide event database and are tracked for analysis of trends and patterns at the provider, consumer, regional, and state level. Individual event reports are entered into a statewide database for analysis of trends and patterns around medication errors as defined by policy. As with other types of incidents, the Service Coordinator is the first reviewer so patterns can be identified for an individual consumer. Regional Office QE RNs also review medication error reports to identify patterns or trends for consumers and/or providers. The reports are also reviewed to ensure appropriate safeguard measures were taken. Regional Office staff coordinates follow-up where concerns are identified. As part of service monitoring, service coordinators review provider records of service delivery. If medication errors are noted in the records, the service coordinator may investigate further to will ensure the errors were properly reported to the state in accordance with 9 CSR 10-5.206 and that all necessary corrective action was taken.

An investigation may be conducted by Department of Mental Health Central Investigations Unit, depending on the nature of the error or errors.

It is the provider's responsibility to remediate the individual issues discovered through the state's quality management functions. It is the role of the Division of DD's Regional Offices and State Quality Enhancement Team to identify trends and develop plans of action to assure remediation through service coordination and Quality Functions. At least quarterly, the state Regional Office Quality Enhancement Leadership Team reviews regional data in the EMT system as well as Investigations, Deaths, Licensing and Certification Reports, and Self Advocates and Families for Excellence (SAFE) consumer review reports for consideration in development of provider, regional, and state Quality Management Plans for quality improvement.

All Regional Offices have Quality Assurance RNs who may receive referrals from service coordinators for any issues discovered with a participant's medication regimens. As part of a requested review or consultation, the state RNs are able to evaluate medication usage patterns and drug/drug and drug/food interactions through use of web-based resources such as the MO HealthNet Division's CyberAccess program and drug interaction web programs.

The state Health and Wellness Coordinator aggregates data state-wide and by region, on medication errors and reports to Division management, regional offices and MO HealthNet quarterly. This includes the types of errors, identification of providers and consumers with the highest rates of errors, potential problems with medication practices, and recommendations/plans for improvement.

For events that meet the definition of suspected abuse or neglect, the Department of Mental Health's Central Investigations Unit will complete an investigation. Significant findings are tracked in a statewide database for analysis during the quarterly and annual data reviews.

Findings regarding medication errors are reported quarterly to MO HealthNet along with all the performance measures for quality assurances.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. **Methods for Discovery: Health and Welfare**
The State, on an ongoing basis, identifies, addresses and seeks to prevent the occurrence of abuse, neglect and exploitation.

i. **Performance Measures**

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 are informed of how to report suspected abuse/neglect/misuse of funds (Number of waiver participants informed of how to report over the number of waiver participants)

Data Source (Select one):
Analyzed collected data (including surveys, focus group, interviews, etc)
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):*
	☐ **Weekly**	☑ **100% Review**

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

Data Aggregation and Analysis:

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

Performance Measure:
Number and percent of incidents reported within required time frames. (Number of serious incidents reported within time frames over the number of total serious incidents reported)

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

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

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of incidents reported in which an inquiry was conducted within required time frames. (number of incidents where inquiry indicated was conducted within required time frames over the total number of incidents in which inquiry was indicated)

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	Frequency of data aggregation and analysis*(check each that applies):*
☐ State Medicaid Agency	☐ Weekly
☑ Operating Agency	☐ Monthly

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

Performance Measure:
Number and percent of potential incidents of abuse/neglect/misuse of funds in which an investigation was initiated within required timeframes. (Number of investigations initiated within required timeframes over the total number of investigations initiated)

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

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

Data Aggregation and Analysis:

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

Performance Measure:

Number and percent of investigations that were substantiated for abuse/neglect. (Number of substantiations of abuse and neglect ÷ Total number of abuse/neglect investigations conducted for all waiver participants)

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

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

Data Aggregation and Analysis:

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

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

Performance Measure:
Proportion of deaths which meet mortality review criteria for which the reviews are completed within identified timeframes (# of deaths reviewed meeting timeframe over the total # of deaths reviewed for waiver participants.)

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

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

Data Aggregation and Analysis:

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

Performance Measure:
Number of substantiated cases of abuse involving unauthorized use of restraint. (Number of substantiated cases of abuse involving unauthorized use of restraint over the number of substantiated cases of abuse)

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

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Individual problems are referred to the Regional Office Assistant Director as they are received or substantiated by staff in the Office of Consumer Safety. All reported incidents, deaths, or complaints are tracked and reported to the Regional Office immediately. A response to the report must be included in the tracking system. More serious reports Reports found suspicious for abuse/neglect are investigated by staff from the Department of Mental Health. Remediation is a coordinated effort by Central Office staff, Regional Office staff, and other concerned parties that could include law enforcement or other state Departments. Less serious reports Other types of complaints and incidents are resolved by the Regional Office with the assistance of the service coordinator and other staff that could include Central Office management staff. The state routinely monitors and evaluates tracking systems to ensure all reported incidents/complaints have been remediated through quarterly reporting to Division management and Regional Office Directors.

Quarterly data for all incidents entered into the statewide tracking system are reviewed to identify outliers for follow up and response by the Regional Office. Responses are monitored at the state level to ensure action has been taken.

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**

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

◉ **No**

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

Appendix H: Quality Improvement Strategy (1 of 2)

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

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

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

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

Quality Improvement Strategy: Minimum Components

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

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

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

In Appendix H of the application, a State describes (1) the *system improvement* activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent *roles/responsibilities* of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously *assess the effectiveness of the QMS* 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 QMS spans more than one waiver, the State must be able to stratify information that is related to each approved waiver program.

Appendix H: Quality Improvement Strategy (2 of 2)

H-1: Systems Improvement

a. System Improvements

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

Overview:

The Division's quality management strategy includes multiple real-time methods of feedback and information gathering in addition to periodic inspection processes. Consumers (program participants) and community members are in active roles. The system utilizes quality improvement processes such as data analysis, tracking, and trending. Data bases are in place for gathering information and subsequent analysis and trending.

In addition to the statewide quality management functions completed by the Division of Developmental Disabilities (DD), there are functions completed by the Department of Mental Health and other state agencies including Department of Social Services/MO HealthNet Division, the Medicaid administrative agency. Each quality management function has its own guidelines, designated implementation staff, and process of identification, communication, and remediation. This allows for timely evaluation of information and development of an appropriate action plan for the individual issue(s) identified. Systems improvement efforts are based upon the consolidation and analysis of data from all functions, as well as other information.

The following are the identified quality functions performed by the DD.
• service monitoring: the process in which service coordinators review appropriate service provision, consumer well-being and, for participants in residential services, environment and safety, results of this process are entered into the Action Planning Tracking System (APTS) database;
• incident response: reporting, tracking and trending of identified incident/injury/medication error/restraint data, all information data based in the statewide Event Management Tracking System (EMT);
• mortality review: the organized method of reporting and review of the circumstances of a consumer death while receiving funded services, requires local (regional office) review as well as a central office review, completed in a web-based database;
• fiscal review: designated fiscal staff review claims of providers;
• service plan review: supervisors review samples of service plans for all waivers and also includes information regarding level of care, samples are drawn by state-wide QE team with sample sizes using RAO-Soft, web-based tool used for review and results of review are entered into APTS;
• the licensure and certification (L&C) process: certification survey process for providers of day habilitation and supported employment, conducted every other year, results entered into a database specific to L&C;
• provider relations review: a review of provider business activities and contractual conformance done by regional provider relations staff at designated intervals and based upon trending of other quality function data

reported to provider relations;
• quality enhancement review: a review of providers conducted by regional QE staff at designated intervals assessing provider systems for assuring health and safety of consumers, results tracked in APTS; and
• tracking of provider accreditation status: accredited providers are deemed to be certified and regional and state staff assure that requirements for submitting accreditation reports and communication with accrediting bodies are met, status of accreditation is entered into CIMOR.

Data for trending, prioritizing, remediating and implementing system improvements is continually collected through the identified quality functions, entered into databases, and analyzed/reported at designated intervals. Reports are provided to Division management, regional level management and staff, providers, stakeholders, and the Medicaid agency at designated intervals, dependent upon the specified function and need. The state-wide Quality Enhancement (QE) Leadership Team provides the oversight, management and evaluation of the quality improvement processes/strategy for the Division of DD.

The Division reports quarterly to the Mental Health Commission on performance measures that the Commission identified; these performance measures overlap those used for waiver assurances and include abuse/neglect investigations, medication usage and medication errors, deaths, consumer injuries, use of restraints, and other indicators. The Mental Health Commission consists of community representatives for psychiatric, addiction, and developmental disabilities appointed by the governor. This public forum is attended by providers and self-advocates and family members.

Reports are also shared with the Quality Advisory Council, a group of self-advocates and family members or guardians. The Quality Advisory Council represents a cross-section of advocacy groups, family members, consumers and public guardians. The Council reviews a wide variety of information from waiver performance, National Core Indicators (NCI), all quality functions, current grants and Division initiatives, such as progress on Money Follows the Person, College of Direct Support, employment and consumer self-direction of services.

In addition to the quality functions used by the state, DD participates in the National Core Indicators (NCI) initiative. With 31 other states participating in this initiative, DD can compare results with a national average as well as the other participating states, using the information as benchmarks.

The QIS plan/processes span all DD waivers, and non-Medicaid services as well. DMH process would not extend to State Plan or to other state departments' waivers. Data collection, analysis, and reporting for the waiver assurances are separated out by each of the DD waivers: DD Comprehensive Waiver(MO.0178), DD Community Support Waiver (MO.0404), Missouri Children with Developmental Disabilities Waiver (MOCDD) (MO.40185), Autism Waiver (MO.0698) and Prevention Waiver (MO.0814). The process for trending is grounded in the CMS waiver quality assurances. Data is aggregated and reported state-wide, by individual region, and, at the regional level, by provider and consumer. The state Quality Enhancement Leadership Unit tracks and evaluates remediation at the regional or state level for identified trends.

Process for Trending:

The state QE Leadership team analyzes and reports information to senior Division management and regional directors from service monitoring, service plan reviews, level of care, incident/injury, and abuse/neglect quarterly. These reports include summarizing performance in the identified areas, describing any patterns/trends, and discussing actions needed. These reports aggregate data state-wide and also aggregate by region. If trends are noted to occur within specific regions or with certain contracted providers, the Division of DD Statewide Quality Enhancement Team notifies Regional Office QE staff of the concerns to be addressed locally.

Regional QE staff review all integrated function databases for trends in service monitoring, incident/injury/abuse/neglect, remediation for service plan reviews, provider relations reviews, and QE reviews in their specific region to identify any significant patterns, trends, or concerns. These reports summarize regional trends for waiver and non-waiver services, specific provider issues and specific consumer issues. Each region develops reports on identified trends to be addressed locally with community providers and the Regional Offices.

Performance measures as outlined in each of the waiver quality assurances are analyzed and reported by state -wide QE Leadership team to the state Medicaid agency (MO HealthNet) quarterly. In addition to the written reports, the DD Federal Programs Unit, DD QE staff and MO HealthNet meet quarterly to review the data

reports/trends specific to each waiver and discuss other issues pertinent to the performance measures and the operation of the waivers.

The QE Leadership Team generates an annual report which includes aggregate information from all the quality functions, comparing data year to year, identifying improvements and opportunities for improvement.

Implementation of system improvements:

When patterns or trends are identified from the data and the reviews mentioned above, further analysis is conducted by the State-wide Quality Enhancement Leadership Team along with stakeholders who are involved in the identified trends. Work groups may then be developed to determine what systems improvement strategies could be developed to impact the areas identified. Sometimes this process results in policy/procedure changes, technical assistance with providers or private TCM entities, training with state staff, or it could be in the form of an awareness campaign to bring a more heightened attention to the identified situation.

Changes in rules, policy, and contracts are drafted and distributed to allow feedback from stakeholders. Once finalized, changes are distributed to Division DD's staff and contracted providers. Discussions are held at local provider meetings, as well as statewide coalitions of providers to assure that changes are understood and implementation dates are communicated. Any training required to assist with the implementation of these changes are initially planned and coordinated by the Quality Enhancement Leadership Team and then assumed by regional office staff. The implementation of system improvements is analyzed for effectiveness of remediation through periodic reviews, and through ongoing analysis of related data.

ii. **System Improvement Activities**

Responsible Party*(check each that applies):*	**Frequency of Monitoring and Analysis***(check each that applies):*
☑ **State Medicaid Agency**	☑ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Quality Improvement Committee**	☑ **Annually**
☐ **Other** Specify:	☑ **Other** Specify: Semi Annual Regional Office Trending Report.

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.

Following implementation of revisions to rules, policy, practices, contracts, or training techniques, data is continually reviewed and analyzed as discussed above in system improvements, to assess effectiveness and appropriateness of the changes. The Quality Enhancement Leadership Team provides feedback and recommendations for system design changes to administration based on identification of trends.

Examples of system improvements:
Regular reviews of the abuse/neglect reporting data resulted in examination of the training components for this topic. Workgroups analyzed the abuse & neglect online training scores as well as comments from those who took the courses which then lead to changes which included examples that better described situations of abuse, neglect, and misuse of consumer funds. The training was revised and tests were re-designed. There has been a decline in abuse and neglect substantiations.

The process for development and revisions of Division Directives (policy and procedural requirements) has

been altered to include public comments, identified trends and changes in programs. If a directive affects a broader base than just an internal work process, work groups are identified with representatives from the Division, Regions, providers and/or consumers of services for input. A draft of the Directive is posted on the Division's public web site for a comment period prior to finalizing and issuing the Directive. Anyone accessing the web site can register to have an automatic e-mail notification when changes to the site are made, documents posted and so forth.
A minimum set of incident data sets have been identified to assist in consistency of reporting and allows for comparisons state-wide and across regions.

A web-based survey has been designed that is filled out by all Regional QE staff upon completion of Quality Enhancement reviews related to Health and Safety to help evaluate the review process. This was successful in evaluating the survey process and the Provider Relations staff also implemented this for the Provider Relations Review. In addition, a web-based survey was established to allow providers to evaluate any contact/visit from regional staff.

Statewide training was implemented for service coordinators on how to use data to help identify areas of potential risk for consumers so that risk planning for the consumer would be addressed.

The Action Plan Tracking System had two additional fields added: 1) Resolution Date- This allows us to identify issues that are unresolved for follow-up. 2) Remediation and comments were added to each record so we can determine what measures are being taken to prevent the issue from occurring in the future.

We are currently in the process of redesigning the incident data collections system (EMT) department-wide. This was a result of data integrity reviews and data analysis. Changes to the system will ensure more consistency with data entry, a more user-friendly data entry, as well as providing additional information related to incident types. Input for changes to the system came from a variety of stakeholders including data entry staff, quality enhancement staff, providers, DD QA Advisory Council, habilitation center staff, and information technology staff.

The Division has tracked Medication Aide training and periodic updates for many years. The old data base was difficult to use, manage and was region-based, so did not "communicate" state-wide and thus was difficult to use for checking credentials. In fall 2010, a new web-based design was implemented that is much more user-friendly for data entry and also is available state-wide to check credentials. So, if a medication aide would move from the Joplin area, for instance, to St. Louis and began working for a provider, someone in St. Louis could check the data base to verify current Medication Aide certification.

ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

There are several points at which the quality improvement strategy is evaluated. As data is reported at the identified intervals, data integrity and fidelity of the review processes are also evaluated. This allows an opportunity to impact design of the quality strategy, discovery processes, remediation effectiveness and methods, and prioritizing for systems improvement.

Each quarter at both the regional and state level, the results of the discovery processes are reported. This is also an opportunity to note changes, trends, and to identify if those trends indicate a need for updating the quality improvement strategy.

The results of the QI strategy is also combined with information from a variety of activities and stakeholder input that occurs within the Division and the Department of Mental Health. For example, the Department participated in a personal planning grant which spanned both the Division of DD and Division of Comprehensive Services. The DD data related to the service planning assurances, gathered by the service plan review process, in addition to stakeholder meetings for the grant identified an opportunity to improve the planning process. Changes to the person-centered planning guidelines were achieved and also supported a risk assessment and mitigation component. This then circled back into revising some of the information asked in the discovery process for the service planning assurance – service plan review.

The state Quality Enhancement Leadership Team reviews trends every quarter and is responsible for identifying patterns or trends that would indicate need for changing of the strategy and/or activities supporting the implementation of the quality improvement strategy. Another example to illustrate this is the use of the EMT and classifying incidents accurately. Through the quarterly reporting process, the overuse of the category of "other" for incident type was identified. Since this system is an integral component of the

quality improvement strategy, accurate data is crucial for identifying needed action. A two year project of intense review of how incidents were classified and technical assistance with regional QE staff and data entry personnel resulted in reducing the use of the category of "other" by 83%, and this category now is used for only about 2% of all reported incidents/injuries.

Another example of impacting the quality improvement strategy is the regional office review of level of care, where they are now able to pull reports at the regional level to internally monitor and correct inaccuracies in data entry errors. The remediation is completed prior to the quarterly data extraction. This is a more proactive strategy rather than reactive.

On an annual basis, the quality improvement strategy is evaluated and summarized in the annual report. When changes are needed, objectives are outlined and strategies to meet those objectives are identified and assigned. The information is presented to Division of DD management.

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).

a) Requirements concerning the independent audit of provider agencies:

Contract providers that provide services to individuals who participate in 1915(c) waivers administered by the Division of Developmental Disabilities are not considered sub-recipients as defined in United States Office of Management and Budget (OMB) Circular A-133 Section 210(b) since they do not have responsibility for determining program and service eligibility and they do not make programmatic decisions.

Division of Developmental Disability contract providers that expend $500,000 or more in federal grant funds received from the Department are required by the Department of Mental Health (DMH) contract to have an annual audit conducted in accordance with United States Office of Management and Budget (OMB) Circular A-133. The reporting package specified in OMB A-133 must be filed with the DMH. Division of Developmental Disabilities (Division of DD) rate setting staff receives and reviews this information. All other providers are encouraged to voluntarily submit independent audit reports to the Division of Developmental Disabilities rate setting staff for review for any deficiencies and are maintained for future reference. All providers are required to submit an annual Uniform Cost Report to the Division. The reports are maintained and referenced when rate adjustments are requested.

Expenditures for this waiver are subject to the State of Missouri Single Audit conducted by the Missouri State Auditor's Office. Audits may be conducted by the Audit Services Unit of the Department of Mental Health upon request. Audits may be requested by the Director of the Department of Mental Health or the Director of the Division of Developmental Disabilities based upon monitoring results, recommendations from Regional Offices, reports from provider staff, reports from the general public, etc.

b) As per the memorandum of understanding (MOU) between the Department of Mental Health (DMH)and the Department of Social Services (DSS) effective September 2011 there is a Medicaid Audit and Compliance Unit (MMAC) within DSS which directly manages and administers Medicaid program integrity, audit and compliance, and Medicaid provider contracts. The Division of DD is the division within DMH responsible for provision of services to individuals with developmental disabilities. Division of DD provides Targeted Case Management and waiver services as part of their service delivery. MMAC and Division of DD work in conjunction with regard to assuring program integrity, audit and compliance for Medicaid services. More specifically MMAC conducts provider reviews to ensure provider qualifications and services rendered in accordance and compliance with the Medicaid Program, the service plan, waiver services program, and all applicable federal and state laws and regulations. MMAC will also conduct internal audits of Division of DD enrolled Medicaid waiver providers to ensure payments comply with home and community based waiver assurances.

c) Agency (or agencies) responsible for conducting the financial audit program:

1. MO HealthNet and MMAC review a sample of waiver provider billings annually and conducts compliance audits, at least every two years, in which documentation of services provided is reviewed to ensure services billed to MHD were provided and documented as required (13 CSR 70.3); the MMIS includes edits to ensure appropriate payments.

2. Department of Mental Health, Office of Audit Services, conducts financial audits upon referral from Division of DD Administrative staff or Regional Office staff, based on information from routine fiscal reviews, complaints from stakeholders or misuse of funds allegations. This entity does not conduct routine financial reviews.

3. State Auditor's Office conducts financial audits under the Single State Audit or based on information from stakeholders.

As part of the Medicaid provider enrollment process, all waivered service providers are required to have a Department of Mental Health Purchase of Service contract. The Department of Mental Health serves as the billing agent on behalf of all waiver service providers since the Department maintains the prior authorization system. This process pertains to all waiver services which are all prior authorized.

The Division of DD's automated network allows case managers to request services identified in the individual's service plan. Before services are authorized, all new plans and plans requesting increased services must go through the Regional Office's Utilization Review process for approval. Approved services are input in the prior authorization system.

The automated prior authorization system creates an invoice for the provider from authorized/approved services. Using a personal computer and modem, the provider can access the invoice electronically and bill for authorized services that have been delivered. Division of DD regional office staff print and review an edit report of services providers have input as delivered to determine if any adjustments are necessary. After determining services input appear accurate, the claim data is submitted to the Medicaid Agency's fiscal agent for processing.

Claims are submitted electronically to the MO HealthNet fiscal agent and are subjected to appropriate edits in the MMIS system to ensure that payment is made only on behalf of those clients who are Medicaid eligible, and to providers who are enrolled, on the date a service was delivered. The provider subsequently receives payment directly from the Medicaid Agency as reimbursement for services rendered. A remittance advice indicating the disposition of billed services accompanies the provider's reimbursement.

The audit trail consists of documents located in the Department of Mental Health, Division of DD regional offices, MO HealthNet Division, and with the provider of service. The Division of DD regional offices maintain the individual service plan. Corresponding plans of care are maintained in the automated systems at regional offices, along with invoices for authorized services. The Division of DD also maintains billed claim data for all claims submitted to MO HealthNet, Medicaid remittance advices, and a history of authorized and paid services by fiscal year. The information collected and maintained by the Medicaid agency's MMIS system includes: copies of all paid and denied claims; Medicaid remittance advices; and eligibility information on each individual served.

Providers are required to maintain financial records and service documentation on each person served in the waiver including the name of the recipient, the recipient's Medicaid identification number, the name of the individual provider who delivered the service, the date that the service was rendered, the units of service provided, the place of service, attendance and census data collection, progress notes and monthly summaries.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

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

a. **Methods for Discovery: Financial Accountability**
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. **Performance Measures**

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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 paid for services included in the approved service plan. (Total claims for delivered services that identified in the service plan ÷ by the total number claims 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 =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**

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

Performance Measure:
Number and percent of claims paid for waiver services that adhere to the reimbursement methodology of that waiver (total claims paid for services in the waiver that adhere to reimbursement methodology divided by the total number of claims 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 =
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
1. All waiver services are prior authorized. Payment is not made through the MMIS unless a valid waiver procedure code has been authorized and billed.
2. Prior authorized services include the rate that is authorized. Only the amount authorized can be paid.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Review findings of any discrepancies are reported in writing within ten (10) days to the Regional Office staff who will coordinate the remediation including:
1) Verifying the service provided was or was not authorized in the plan of care. If confirmed the service provided was not in the plan of care, an adjustment will be submitted to MO HealthNet. The service coordinator supervisor will discuss the finding with the service coordinator and assure the service plan is accurately updated and provide additional training. Designated Regional Office staff will notify the audit authority of remediation in writing within thirty (30) days specifying remediation that occurred to correct each individual problem identified.
2) Any claims billed to MO HealthNet that are not covered waiver services will be adjusted so that reimbursement is returned to MO HealthNet.
3) Any claims billed to MO HealthNet with a rate that is not consistent with the rate setting methodology are adjusted (reimbursed) to MO HealthNet and a new rate according to methodology will be determined and billed.

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

Responsible Party*(check each that applies):*	Frequency of data aggregation and analysis *(check each that applies):*
☐ Sub-State Entity	☐ Quarterly
☐ Other Specify:	☐ Annually
	☑ Continuously and Ongoing
	☐ Other Specify:

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

◉ **No**

○ **Yes**
Please provide a detailed strategy for assuring Financial Accountability, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

a. **Rate Determination Methods.** In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

Each Division of DD Regional Office has Provider Relations staff assigned to work with potential Division of DD Waiver Providers. Staff explains the program and qualifications required to provide services. Interested providers are given a budget packet to complete. The forms in the packet allow the potential provider to report its cost to provide a specific waiver service. The reported costs are reviewed by staff and a unit rate is negotiated. Each provider's rate is set based on reported costs with the condition the rate must not exceed the maximum allowable set by the state for that particular service code. A maximum allowable for each service is calculated and is applied across all areas of the State. If a maximum allowable is not sufficient in one part of the state, it is adjusted for the entire state. This process is used for all waiver provider/agency based services except the behavior analysis service (specifically the functional behavioral assessment), out of home respite, environmental accessiblity adaptations, specialized medical equipment and supplies.

For residential habilitation services (out of home respite service only for this waiver), the rate setting process is described in CSR 45-4.010, Residential Rate Setting. Providers fill out a budget packet to demonstrate cost for providing the service. The provider can accept a profile rate based on the level of care that will be provided, or a committee of Division of DD staff and the provider will meet to negotiate the rate. Parameters considered in negotiating the rate include:
• staffing ratios required based on the level of care needs of prospective persons to be served;
• extraordinary circumstances beyond the control of the facility such as location; and
• costs the provider reports for direct care staff, professional staff, administrative services, fringe benefits, ancillary costs, etc. in comparison with known costs of other providers in the region that provide similar services.

For Behavior Analysis Service (specifically the funtional behavioral assessments), a flat fee is paid. The fee was established based on the average time expected to be required for a professional to complete an assessment.

For environmental accessiblity adaptations, specialized medical equipment and supplies a flat rate is not used. Bids or estimates of cost for a job, equipment, or supplies are obtained from two or more providers the individual chooses. A dollar amount is authorized for the provider with the lowest and best price if the price is reasonable based on the purchase experience of the regional office of similar jobs, equipment or supplies and does not exceed the annual maximum allowed for the service.

For residential habilitation services (out of home respite service only for this waiver), the rate setting process is described in CSR 45-4.010, Residential Rate Setting. Providers fill out a budget packet to demonstrate cost for providing the service. The provider can accept a profile rate based on the level of care that will be provided, or a committee of Division of DD staff and the provider will meet to negotiate the rate.

Division of DD uses a prospective cost based method to establish rates for all services other than out of home respite and the behavior analysis service (specifically the funtional behavioral assessment). The rate cannot exceed the maximum allowable rate set by the state for each service. The maximum rate for each service is entered in the MMIS procedure code file which all waiver claims process against. MO HealthNet must approve any changes to the maximum allowable in the MMIS proposed by the Division of DD. MO HealthNet considers the rates paid for similiar MO HealthNet services, access to service providers with current rates, and whether there is sufficient State appropriation to cover the State share.

Individuals, providers, and other stakeholders have an opportunity to make public comments to the Division of DD, MO HealthNet, and elected officials on rates and methodology for rate setting during annual legislative hearings in preparation for the appropriation process. Providers and other stakeholders may provide comment to the Division of DD Director or Deparment of Mental Health Director at any time regarding rates by writing a letter or during public meetings.

During the person centered planning process when service providers are selected, the participant is informed of provider rates. Also, participants are given a copy of their approved budget which contains the rate for each service they are approved to receive.

If an individual requests a new provider that has a higher rate, a new budget is prepared for the individual. The new budget is sent to the UR Committee. If additional units are not requested, but the budget has increased due to the new providers rate, the budget is usually approved unless the new rate will cause a program or service limitation to be exceeded in which case the UR Committee may recommend fewer units of service.

All maximum allowable rates are approved by MO HealthNet.

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:

The Division of DD's automated consumer information system allows staff to request prior authorization of services identified in the plan of care. Before services are prior authorized by the Regional Office, the service plan must go through the regional office's utilization review process if the plan is new or requests an increase in service.

Since the prior authorization system resides in the Department of Mental Health's information system, waiver providers are required to submit claims for services they provide through the operating agency's billing system and may not bill claims directly to MO HealthNet fiscal agent.

The operating agency's automated system creates an invoice for the provider from authorized/approved services. Using a personal computer and internet connection, the provider can access the invoice electronically and bill for authorized services that have been delivered. Division of DD Regional Office staff review edit reports of services providers have input as delivered to determine if any adjustments are necessary. After determining services input appear accurate, staff with the regional office submit the claims to the Department's billing system for transfer to MO HealthNet's fiscal agent.

The ASC X12N 837 Health Care Claim format is used for billing waiver services. Claims submitted electronically are subjected to appropriate edits in the MMIS system to ensure that payment is made only on behalf of participants who are MO HealthNet eligible, and to providers who are enrolled, on the date a service was

delivered. The provider receives a remittance advice indicating the disposition of billed services and any reimbursement due, directly from MO HealthNet. The Division of DD also receives copies of remittance advices since the state share paid to providers is the Department's responsibility. The Division of DD is appropriated funds for the state share of waiver service programs it administers. As claims are adjudicated in the MMIS, Division of DD administratively transfers authority to MO HealthNet to access the state share portion of the payment made for waiver services from this appropriation.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

c. **Certifying Public Expenditures** *(select one)*:

- [x] **No. State or local government agencies do not certify expenditures for waiver services.**
- [ ] **Yes. State or local government agencies directly expend funds for part or all of the cost of waiver services and certify their State government expenditures (CPE) in lieu of billing that amount to Medicaid.**

Select at least one:

- [ ] **Certified Public Expenditures (CPE) of State Public Agencies.**

Specify: (a) the State government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b).*(Indicate source of revenue for CPEs in Item I-4-a.)*

- [ ] **Certified Public Expenditures (CPE) of Local Government Agencies.**

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). *(Indicate source of revenue for CPEs in Item I-4-b.)*

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

d. **Billing Validation Process.** Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

(a) Waiver providers must submit bills through the Department of Mental Health where the Division of DD's prior authorization system resides. Claims must successfully process through the prior authorization system before the Department sends the claims to the MO HealthNet fiscal agent for processing through the MMIS claims processing system. There are edits within the MMIS to verify eligibility for each date of service before the system approves payment to the provider. If an individual is not eligible for any date of service, the MMIS claims processing system does not allow payment to the provider for periods of ineligibility.

(b)&(c) Billing validation to determine if services are provided is done once a year as part of MO HealthNet's review of a sample of waiver participants. Part of the process is to review the plan and ensure all service needs have been provided and that all services provided were included in the plan. Further, providers who received payment for services to participants selected for the review are contacted by the MO HealthNet's Program Integrity Unit and must provide documentation that services were delivered. The Division of DD conducts a financial review of provider

payments annually to ensure the provider has evidence/documentation that a sample of services were provided. Only authorized services are paid. Payment is made directly to the provider of services.

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*):

- [x] **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.**
- [x] **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: *Complete item I-3-e.*

Some County Entities are reimbursed as waiver service providers, as well as Division of DD Regional Offices and habilitation centers. Out of Home Respite services may be provided as a direct service by a County Entity, or an habilitation center. County Entities and Regional Offices may also provide the following services as a direct service: day habilitation, in-home respite, personal assistant, support broker, community professional, community employment, job discovery, job preparation, behavior therapy, crisis intervention, counseling, behavior analysis services, speech therapy, occupational therapy, physical therapy, professional assessment and monitoring, communication skills instruction, environmental adaptations, specialized medical equipment and supplies, assistive technology, agency with choice fiscal managment service, or transportation. The County Entity or Regional Office must have staff qualified to provide the service and must have been choosen by the participant to provide the service.

Both County Entities and Regional Offices are more likely to provide waiver services under the OHCDS

option, sub-contracting for waiver services from otherwise qualified providers that have chosen not to enroll as a MO HealthNet (Medicaid) provider.

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:*

- [x] **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:*

- [x] **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:*

- [x] **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) Entities that may be designated as an OHCDS are Division of DD Regional Offices and other MO HealthNet service providers that meet the requirements set forth in 42 CFR 447.10, and desire to serve as an OHCDS. There are no restrictions as to waiver services that may be provided under this option as long as all applicable provider standards are met for that service. State operated DD Regional Offices, County Boards, and designated not-for-profit entities provide Medicaid State Plan targeted case management. They have systems capable of contracting and paying other providers directly. Other waiver providers of MO HealthNet services may also elect to become an OHCDS provider if they are approved by the local Regional Office and have systems capable of contracting with and paying waiver service providers directly and meet the assurances. The ability to contract directly with providers allows consumers and families to select and develop or train individuals they want to deliver services and care, thereby increasing the consumer's self determination. The OHCDS option also enhances the availability and responsiveness of the service delivery system for consumers and their families.

(b) Any qualified provider of a waiver service may enroll directly with MO HealthNet as a Division of DD waiver provider. Providers are not required to provide services through an OHCDS arrangement. The OHCDS option allows consumers and families the ability to select and develop or train individuals they want to deliver services and care, thereby increasing the consumer's self determination. The OHCDS option also enhances the availability and responsiveness of the service delivery system for consumers and their families. Completing the enrollment process through the MO HealthNet program can take time. Contracting with an OHCDS qualified entity may be an expedient way to get services started. The option expands provider choice for consumers and families.

(c) Participants have free choice of qualified providers and are not required to access services through an OHCDS entity/arrangement. Providers are not required to contract with OHCDS entities, but may do so by choice. Qualified providers may enroll with MO HealthNet as a Waiver provider.

(d) Provider agencies that have OHCDS designation have a specialized contract with the Department of Mental Health and with MO HealthNet. The agreement specifies the following:

• Individual providers and agency providers are not required to contract with an OHCDS under the waiver.
• All persons or agencies which do contract with an OHCDS to provide waiver services must meet the same requirements and qualifications as apply to providers enrolled directly with the Medicaid agency.
• No OHCDS or contractor will be allowed to limit a recipient's free choice of provider.
• Any state entity wishing to be designated an OHCDS must agree to bill the Medicaid program no more than its cost.
• All contracts executed by an OHCDS, and all subcontracts executed by its contractors, to provide waiver services, must meet the applicable requirements of 42 CFR 434.6 and 45 CFR Part 74, appendix G.

(e) MO HealthNet is responsible for enrolling all waiver providers as Missouri Medicaid providers. A standard provider qualification for each waiver provider is that the provider have an active contract to provide waiver services for the Division of DD. This contract is required along with other MO HealthNet provider enrollment forms and any other proof of license or other credential in order for the provider to enroll as a Missouri Medicaid provider of waiver services.

In addition, Service Coordinators inform individuals of qualified providers and assist individuals in exercising choice. Regional Offices use the OHCDS option to expand choice by contracting or until the provider enrollment process is completed.

(f) Regional Offices bill the same amount to MO HealthNet as the Regional Office paid the contract provider. The MO HealthNet Division's Program Integrity Unit (PI) has the responsibility for reviewing paid claims. PI reviews paid claims by provider type or by specialty type if the provider type is too broad in scope. They randomly select a statistically valid sample within a set timeframe not to exceed three years prior. Providers must maintain sufficient documentation to prove they provided services for which they were paid by MO HealthNet. In addition, all services are prior authorized to qualified providers, by Regional Offices. Service Coordinators monitor services to determine if the services authorized in the plan are being received and if the services are meeting the individual's needs.

iii. **Contracts with MCOs, PIHPs or PAHPs.** *Select one:*

- [x] **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.**

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**
- [x] **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:

a)The non-federal share is appropriated to Department of Mental Health, Division of DD from General Revenue and Mental Health Local Tax Fund.

b)The State utilizes Intergovernmental Transfers (IGT). Funds from any local government (County Boards) are

deposited into the Mental Health Local Tax Fund with Division of DD, and expenditures for the State share for services in their county are made through Division of DD appropriations. MO HealthNet through the use of IGT directly accesses the Division of DD appropriations when making payments to providers. In addition, funds used for the state share for services delivered by private providers are also made through an IGT process from DMH general revenue appropriations.

☐ **Other State Level Source(s) of Funds.**

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by State agencies as CPEs, as indicated in Item I-2- c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. **Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. *Select One*:

☐ **Not Applicable.** There are no local government level sources of funds utilized as the non-federal share.

☒ **Applicable**

Check each that applies:

☑ **Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

a) Some Missouri Counties have passed laws that give them authority to levy taxes for residents who have developmental disabilities. Legislation which allows an individual county to create a local DD authority and through a vote of the citizens of the County collect a special tax levied on property up to 40 cents per hundred dollars valuation on property. RSMo 205.968-205.973 is the statutory reference.
b) The source of their revenue is the special tax on property.

c) Funds from any local government (County Boards) are deposited into the Mental Health Local Tax Fund with Division of DD, and expenditures for the State share for services in their county are made through Division of DD appropriations. MO HealthNet through the use of IGT directly accesses the Division of DD appropriations when making payments to providers.

☐ **Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the State Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and /or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2- c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. **Information Concerning Certain Sources of Funds.** Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. *Select one*:

- [x] **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.**
- [x] **As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual.**

b. **Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** The following describes the methodology that the State uses to exclude Medicaid payment for room and board in residential settings:

The only service that is provided in a residential setting is Out of Home Respite. Federal Financial Participation may be claimed for the cost of room and board when it is provided in a facility approved by the State that is not a private residence for temporary residential care.

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:*

- [x] **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:*

- [x] **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*:

- [x] **No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
- [ ] **Yes. The State imposes a premium, enrollment fee or similar cost-sharing arrangement.**

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2d have been completed.

Level(s) of Care: ICF/MR

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	10944.34	6809.00	17753.34	93116.00	3125.00	96241.00	78487.66
2	10937.02	6809.00	17746.02	93116.00	3125.00	96241.00	78494.98
3	10959.69	6945.18	17904.87	94978.32	3187.50	98165.82	80260.95
4	11201.49	7084.08	18285.57	96877.89	3251.25	100129.14	81843.57
5	11038.71	7225.76	18264.47	98815.44	3316.27	102131.71	83867.24

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 Number Unduplicated Number of Participants (from Item B -3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care:	
		ICF/MR	
Year 1	1500	1500	

Waiver Year	Total Number Unduplicated Number of Participants (from Item B -3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care:	
		ICF/MR	
Year 2	1575	1575	
Year 3	1667	1667	
Year 4	1851	1851	
Year 5	2054	2054	

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.

372 reports and data from years FY 08, 09, and 10 was used to get the average length of stay which is 327 for the first 2 years and 328 for the remaining years.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 9)

c. **Derivation of Estimates for Each Factor.** Provide a narrative description for the derivation of the estimates of the following factors.

i. **Factor D Derivation.** The estimates of Factor D for each waiver year are located in Item J-2-d. The basis for these estimates is as follows:

Factor D years 1 and 2 are based on CMS 372 reports for years FY' 09 through FY' 10 of waiver #0404.01. For years 3-5 of the renewal period the number of slots and cost estimates were trended forward projecting a growth pattern of 2% each year.

ii. **Factor D' Derivation.** The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

The basis for determining Factor D', waiver participants' acute care costs, is based on the average cost of acute care services accessed by individuals who participate in the Missouri DD Waiver 0404.R0103 during FY'2008.

For this waiver application current Fy2010 was used, and there were no Medicare Part D figures in this data.

iii. **Factor G Derivation.** The estimates of Factor G for each waiver year are included in Item J-1. The basis of these estimates is as follows:

The basis for determining Factor G for years 1 and 2, institutional costs, was the average cost of ICF/MR services for Missouri DD Waivers, such as 0404.R0103, during FY'2008 which also use ICF/MR cost effectiveness. Numbers were trended forward for years three through five.

iv. **Factor G' Derivation.** The estimates of Factor G' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

The basis for determining Factor G' for years 1 and 2, acute care costs for institutionalized individuals, was the average cost of acute care services for other Missouri DD waivers, such as, 0404.R0103, during FY'2008 which also use ICF/MR cost effectiveness. Numbers were trended forward for years three through five.

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	
Community Employment	
In -Home Respite	
Job Preparation	
Personal Assistant	
Assistive Technology	
Behavior Analysis Service	
Co-Worker Supports	
Communication Skills Instruction	
Community Specialist Services	
Counseling	
Crisis Intervention	
Environmental Accessibility Adaptations-Home/Vehicle Modification	
Independent Living Skills Development	
Job Discovery	
Occupational Therapy	
Out of Home Respite	
Person Centered Strategies Consultation	
Physical Therapy	
Professional Assessment and Monitoring	
Specialized Medical Equipment and Supplies (Adaptive Equipment)	
Speech Therapy	
Support Broker	
Transportation	

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
Community Employment Total:						557665.20
				GRAND TOTAL:		16416515.09
				Total Estimated Unduplicated Participants:		1500
				Factor D (Divide total by number of participants):		10944.34
				Average Length of Stay on the Waiver:		327

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Supported Employment - Individual	1/4 h.	69	1172.00	3.99	322663.32	
Supported Employment - Group	1/4 h.	34	1786.00	3.87	235001.88	
In -Home Respite Total:						294334.80
In-Home Respite - Day	1/4 h.	31	11.00	108.96	37155.36	
In-Home Respite - Hour	1/4 h.	88	803.00	3.35	236724.40	
In-Home Respite - Group	1/4 h.	8	1031.00	2.48	20455.04	
Job Preparation Total:						283919.80
Job Preparation On-Site, Individual	1/4 h.	29	380.00	5.55	61161.00	
Job Preparation On-Site, Group	1/4 h.	77	550.00	3.16	133826.00	
Job Preparation Off-Site, Individual	1/4 h.	22	290.00	5.92	37769.60	
Job Preparation Off-Site, Group	1/4 h.	51	285.00	3.52	51163.20	
Personal Assistant Total:						5252472.79
Personal Assistant - Individual	1/4 h.	89	3133.00	2.89	805838.93	
Personal Assistant - Agency	1/4 h.	326	2290.00	3.91	2918971.40	
Personal Assistant Medical/Behavior	1/4 h.	171	1734.00	3.87	1147509.18	
Personal Assistant - Group	1/4 h.	83	1248.00	3.67	380153.28	
Assistive Technology Total:						604800.00
Assistive Technology	1 job	224	3.00	900.00	604800.00	
Behavior Analysis Service Total:						134140.00
Senior Behavior Consultant	1/4 h.	38	60.00	18.00	41040.00	
Behavior Intervention Specialist	1/4 h.	38	110.00	15.00	62700.00	
Functional Behavior Assessment	1 assessment	38	1.00	800.00	30400.00	
Co-Worker Supports Total:						124320.00
Co-Worker Supports					124320.00	

GRAND TOTAL:	16416515.09
Total Estimated Unduplicated Participants:	1500
Factor D (Divide total by number of participants):	10944.34
Average Length of Stay on the Waiver:	327

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	1/4 h.	60	350.00	5.92		
Communication Skills Instruction Total:						14747.88
Communication Skills Instruction	1/4 h.	3	724.00	6.79	14747.88	
Community Specialist Services Total:						148874.00
Community Specialist Services	1/4 h.	110	134.00	10.10	148874.00	
Counseling Total:						5634.48
Counseling	1/4 h.	34	12.00	13.81	5634.48	
Crisis Intervention Total:						1881.67
Crisis Intervention - Professional	1 h.	3	9.00	43.57	1176.39	
Crisis Intervention - Technical	1 h.	1	29.00	24.32	705.28	
Environmental Accessibility Adaptations-Home/Vehicle Modification Total:						34650.00
Environmental Accessibility Adaptations-Home/Vehicle Modification	1 Job	11	1.00	3150.00	34650.00	
Independent Living Skills Development Total:						5527975.14
On-site Group Day Services	1/4 h.	160	1786.00	4.65	1328784.00	
On-site Individual Day Services	1/4 h.	25	1786.00	5.16	230394.00	
Individual Community Integration	1/4 h.	410	873.00	3.99	1428140.70	
Group Community Integration	1/4 h.	142	1786.00	3.87	981478.44	
Home Skills Development-Individual	1/4 h.	25	1786.00	5.16	230394.00	
Home Skills Development-Group	1/4 h.	160	1786.00	4.65	1328784.00	
Job Discovery Total:						348880.40
Job Discovery On-Site, Individual	1/4 h.	106	380.00	5.55	223554.00	
Job Discovery Off-Site, Individual	1/4 h.	73	290.00	5.92	125326.40	
Occupational Therapy Total:						37012.14
Occupational Therapy	1/4 h.				37012.14	
				GRAND TOTAL:		16416515.09
				Total Estimated Unduplicated Participants:		1500
				Factor D (Divide total by number of participants):		10944.34
				Average Length of Stay on the Waiver:		327

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		33	67.00	16.74		
Out of Home Respite Total:						102375.54
Out of Home Respite, Day	Day	41	19.00	129.82	101129.78	
Out of Home Respite, Hour	1/4 h.	17	16.00	4.58	1245.76	
Person Centered Strategies Consultation Total:						265428.02
Person Centered Strategies Consultation	1/4 h.	121	143.00	15.34	265428.02	
Physical Therapy Total:						24704.00
Physical Therapy	1/4 h.	32	50.00	15.44	24704.00	
Professional Assessment and Monitoring Total:						414750.00
Registered Nurse	1/4 h.	150	190.00	8.75	249375.00	
Licensed Practial Nurse	1/4 h.	150	90.00	6.00	81000.00	
Dietician	1/4 h.	150	90.00	6.25	84375.00	
Specialized Medical Equipment and Supplies (Adaptive Equipment) Total:						537285.00
Specialized Medical Equipment and Supplies (Adaptive Equipment)	1 Job	238	7.00	322.50	537285.00	
Speech Therapy Total:						15959.43
Speech Therapy	1/4 h.	17	61.00	15.39	15959.43	
Support Broker Total:						6655.20
Support Broker	1/4 h.	10	118.00	5.64	6655.20	
Transportation Total:						1678049.60
Transportation	Month	578	10.00	290.32	1678049.60	
				GRAND TOTAL:		16416515.09
				Total Estimated Unduplicated Participants:		1500
				Factor D (Divide total by number of participants):		10944.34
				Average Length of Stay on the Waiver:		327

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
Community Employment Total:						585517.68
Supported Employment - Individual	1/4 h.	72	1172.00	3.99	336692.16	
Supported Employment - Group	1/4 h.	36	1786.00	3.87	248825.52	
In -Home Respite Total:						307492.12
In-Home Respite - Day	1/4 h.	33	11.00	108.96	39552.48	
In-Home Respite - Hour	1/4 h.	92	803.00	3.35	247484.60	
In-Home Respite - Group	1/4 h.	8	1031.00	2.48	20455.04	
Job Preparation Total:						297707.20
Job Preparation On-Site, Individual	1/4 h.	30	380.00	5.55	63270.00	
Job Preparation On-Site, Group	1/4 h.	81	550.00	3.16	140778.00	
Job Preparation Off-Site, Individual	1/4 h.	23	290.00	5.92	39486.40	
Job Preparation Off-Site, Group	1/4 h.	54	285.00	3.52	54172.80	
Personal Assistant Total:						5510668.53
Personal Assistant - Individual	1/4 h.	93	3133.00	2.89	842056.41	
Personal Assistant - Agency	1/4 h.	342	2290.00	3.91	3062233.80	
Personal Assistant Medical/Behavior	1/4 h.	180	1734.00	3.87	1207904.40	
Personal Assistant - Group	1/4 h.	87	1248.00	3.67	398473.92	
Assistive Technology Total:						634500.00
Assistive Technology	1 job	235	3.00	900.00	634500.00	
Behavior Analysis Service Total:						141200.00
Senior Behavior Consultant	1/4 h.	40	60.00	18.00	43200.00	
				GRAND TOTAL:		17225799.64
				Total Estimated Unduplicated Participants:		1575
				Factor D (Divide total by number of participants):		10937.02
				Average Length of Stay on the Waiver:		327

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Behavior Intervention Specialist	1/4 h.	40	110.00	15.00	66000.00	
Functional Behavior Assessment	1 assessment	40	1.00	800.00	32000.00	
Co-Worker Supports Total:						130536.00
Co-Worker Supports	1/4 h.	63	350.00	5.92	130536.00	
Communication Skills Instruction Total:						14747.88
Communication Skills Instruction	1/4 h.	3	724.00	6.79	14747.88	
Community Specialist Services Total:						155641.00
Community Specialist Services	1/4 h.	115	134.00	10.10	155641.00	
Counseling Total:						5965.92
Counseling	1/4 h.	36	12.00	13.81	5965.92	
Crisis Intervention Total:						1881.67
Crisis Intervention - Professional	1 h.	3	9.00	43.57	1176.39	
Crisis Intervention - Technical	1 h.	1	29.00	24.32	705.28	
Environmental Accessibility Adaptations-Home/Vehicle Modification Total:						37800.00
Environmental Accessibility Adaptations-Home/Vehicle Modification	1 Job	12	1.00	3150.00	37800.00	
Independent Living Skills Development Total:						5797333.20
On-site Group Day Services	1/4 h.	168	1786.00	4.65	1395223.20	
On-site Individual Day Services	1/4 h.	26	1786.00	5.16	239609.76	
Individual Community Integration	1/4 h.	430	873.00	3.99	1497806.10	
Group Community Integration	1/4 h.	149	1786.00	3.87	1029861.18	
Home Skills Development-Individual	1/4 h.	26	1786.00	5.16	239609.76	
Home Skills Development-Group	1/4 h.	168	1786.00	4.65	1395223.20	
Job Discovery Total:						366292.60

GRAND TOTAL:	17225799.64
Total Estimated Unduplicated Participants:	1575
Factor D (Divide total by number of participants):	10937.02
Average Length of Stay on the Waiver:	327

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Job Discovery On-Site, Individual	1/4 h.	111	380.00	5.55	234099.00	
Job Discovery Off-Site, Individual	1/4 h.	77	290.00	5.92	132193.60	
Occupational Therapy Total:						39255.30
Occupational Therapy	1/4 h.	35	67.00	16.74	39255.30	
Out of Home Respite Total:						107381.98
Out of Home Respite, Day	Day	43	19.00	129.82	106062.94	
Out of Home Respite, Hour	1/4 h.	18	16.00	4.58	1319.04	
Person Centered Strategies Consultation Total:						278589.74
Person Centered Strategies Consultation	1/4 h.	127	143.00	15.34	278589.74	
Physical Therapy Total:						26248.00
Physical Therapy	1/4 h.	34	50.00	15.44	26248.00	
Professional Assessment and Monitoring Total:						436870.00
Registered Nurse	1/4 h.	158	190.00	8.75	262675.00	
Licensed Practial Nurse	1/4 h.	158	90.00	6.00	85320.00	
Dietician	1/4 h.	158	90.00	6.25	88875.00	
Specialized Medical Equipment and Supplies (Adaptive Equipment) Total:						564375.00
Specialized Medical Equipment and Supplies (Adaptive Equipment)	1/4 h.	250	7.00	322.50	564375.00	
Speech Therapy Total:						16898.22
Speech Therapy	1/4 h.	18	61.00	15.39	16898.22	
Support Broker Total:						6655.20
Support Broker	1/4 h.	10	118.00	5.64	6655.20	
Transportation Total:						1762242.40
Transportation	Month	607	10.00	290.32	1762242.40	

GRAND TOTAL:	17225799.64
Total Estimated Unduplicated Participants:	1575
Factor D (Divide total by number of participants):	10937.02
Average Length of Stay on the Waiver:	327

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
Community Employment Total:						611134.62
Supported Employment - Individual	1/4 h.	76	1172.00	3.99	355397.28	
Supported Employment - Group	1/4 h.	37	1786.00	3.87	255737.34	
In -Home Respite Total:						332634.79
In-Home Respite - Day	1/4 h.	34	11.00	108.96	40751.04	
In-Home Respite - Hour	1/4 h.	99	803.00	3.35	266314.95	
In-Home Respite - Group	1/4 h.	10	1031.00	2.48	25568.80	
Job Preparation Total:						311494.60
Job Preparation On-Site, Individual	1/4 h.	31	380.00	5.55	65379.00	
Job Preparation On-Site, Group	1/4 h.	85	550.00	3.16	147730.00	
Job Preparation Off-Site, Individual	1/4 h.	24	290.00	5.92	41203.20	
Job Preparation Off-Site, Group	1/4 h.	57	285.00	3.52	57182.40	
Personal Assistant Total:						5836310.24
Personal Assistant - Individual	1/4 h.	100	3133.00	2.89	905437.00	
Personal Assistant - Agency	1/4 h.	361	2290.00	3.91	3232357.90	
Personal Assistant Medical/Behavior	1/4 h.	191	1734.00	3.87	1281720.78	
Personal Assistant - Group	1/4 h.	91	1248.00	3.67	416794.56	
Assistive Technology Total:						675000.00
				GRAND TOTAL:		18269799.80
				Total Estimated Unduplicated Participants:		1667
				Factor D (Divide total by number of participants):		10959.69
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assistive Technology	1 job	250	3.00	900.00	675000.00	
Behavior Analysis Service Total:						148260.00
Senior Behavior Consultant	1/4 h.	42	60.00	18.00	45360.00	
Behavior Intervention Specialist	1/4 h.	42	110.00	15.00	69300.00	
Functional Behavior Assessment	1 assessment	42	1.00	800.00	33600.00	
Co-Worker Supports Total:						138824.00
Co-Worker Supports	1/4 h.	67	350.00	5.92	138824.00	
Communication Skills Instruction Total:						19663.84
Communication Skills Instruction	1/4 h.	4	724.00	6.79	19663.84	
Community Specialist Services Total:						166468.20
Community Specialist Services	1/4 h.	123	134.00	10.10	166468.20	
Counseling Total:						6131.64
Counseling	1/4 h.	37	12.00	13.81	6131.64	
Crisis Intervention Total:						2273.80
Crisis Intervention - Professional	1 h.	4	9.00	43.57	1568.52	
Crisis Intervention - Technical	1 h.	1	29.00	24.32	705.28	
Environmental Accessibility Adaptations-Home/Vehicle Modification Total:						37800.00
Environmental Accessibility Adaptations-Home/Vehicle Modification	1 Job	12	1.00	3150.00	37800.00	
Independent Living Skills Development Total:						6171497.16
On-site Group Day Services	1/4 h.	178	1786.00	4.65	1478272.20	
On-site Individual Day Services	1/4 h.	29	1786.00	5.16	267257.04	
Individual Community Integration	1/4 h.	456	873.00	3.99	1588371.12	
Group Community Integration	1/4 h.	158	1786.00	3.87	1092067.56	
				GRAND TOTAL:		18269799.80
				Total Estimated Unduplicated Participants:		1667
				Factor D (Divide total by number of participants):		10959.69
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Home Skills Development-Individual	1/4 h.	29	1786.00	5.16	267257.04	
Home Skills Development-Group	1/4 h.	178	1786.00	4.65	1478272.20	
Job Discovery Total:						385421.60
Job Discovery On-Site, Individual	1/4 h.	116	380.00	5.55	244644.00	
Job Discovery Off-Site, Individual	1/4 h.	82	290.00	5.92	140777.60	
Occupational Therapy Total:						40376.88
Occupational Therapy	1/4 h.	36	67.00	16.74	40376.88	
Out of Home Respite Total:						117248.30
Out of Home Respite, Day	Day	47	19.00	129.82	115929.26	
Out of Home Respite, Hour	1/4 h.	18	16.00	4.58	1319.04	
Person Centered Strategies Consultation Total:						296138.70
Person Centered Strategies Consultation	1/4 h.	135	143.00	15.34	296138.70	
Physical Therapy Total:						27020.00
Physical Therapy	1/4 h.	35	50.00	15.44	27020.00	
Professional Assessment and Monitoring Total:						461755.00
Registered Nurse	1/4 h.	167	190.00	8.75	277637.50	
Licensed Practial Nurse	1/4 h.	167	90.00	6.00	90180.00	
Dietician	1/4 h.	167	90.00	6.25	93937.50	
Specialized Medical Equipment and Supplies (Adaptive Equipment) Total:						598237.50
Specialized Medical Equipment and Supplies (Adaptive Equipment)	1/4 h.	265	7.00	322.50	598237.50	
Speech Therapy Total:						17837.01
Speech Therapy	1/4 h.	19	61.00	15.39	17837.01	
Support Broker Total:						7320.72
Support Broker					7320.72	

GRAND TOTAL:	18269799.50
Total Estimated Unduplicated Participants:	1667
Factor D (Divide total by number of participants):	10959.69
Average Length of Stay on the Waiver:	328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	1/4 h.	11	118.00	5.64		
Transportation Total:						**1860951.20**
Transportation	Month	641	10.00	290.32	1860951.20	
				GRAND TOTAL:		18269799.80
				Total Estimated Unduplicated Participants:		1667
				Factor D (Divide total by number of participants):		10959.69
				Average Length of Stay on the Waiver:		328

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
Community Employment Total:						**973420.51**
Supported Employment - Individual	1/4 h.	84	1172.06	3.99	392827.63	
Supported Employment - Group	1/4 h.	84	1786.00	3.87	580592.88	
In -Home Respite Total:						**360411.32**
In-Home Respite - Day	1/4 h.	36	11.31	108.96	44364.15	
In-Home Respite - Hour	1/4 h.	108	802.87	3.35	290478.37	
In-Home Respite - Group	1/4 h.	10	1031.00	2.48	25568.80	
Job Preparation Total:						**351200.20**
Job Preparation On-Site, Individual	1/4 h.	35	380.00	5.55	73815.00	
Job Preparation On-Site, Group	1/4 h.	95	550.00	3.16	165110.00	
Job Preparation Off-Site, Individual	1/4 h.	28	290.00	5.92	48070.40	
Job Preparation Off-Site, Group	1/4 h.	64	285.00	3.52	64204.80	
				GRAND TOTAL:		20733949.06
				Total Estimated Unduplicated Participants:		1851
				Factor D (Divide total by number of participants):		11201.49
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Personal Assistant Total:						6478401.31
Personal Assistant - Individual	1/4 h.	109	3133.00	2.89	986926.33	
Personal Assistant - Agency	1/4 h.	402	2289.00	3.91	3597895.98	
Personal Assistant Medical/Behavior	1/4 h.	212	1733.00	3.87	1421822.52	
Personal Assistant - Group	1/4 h.	103	1248.00	3.67	471756.48	
Assistive Technology Total:						750600.00
Assistive Technology	1 job	278	3.00	900.00	750600.00	
Behavior Analysis Service Total:						165910.00
Senior Behavior Consultant	1/4 h.	47	60.00	18.00	50760.00	
Behavior Intervention Specialist	1/4 h.	47	110.00	15.00	77550.00	
Functional Behavior Assessment	1 assessment	47	1.00	800.00	37600.00	
Co-Worker Supports Total:						153328.00
Co-Worker Supports	1/4 h.	74	350.00	5.92	153328.00	
Communication Skills Instruction Total:						19663.84
Communication Skills Instruction	1/4 h.	4	724.00	6.79	19663.84	
Community Specialist Services Total:						184199.76
Community Specialist Services	1/4 h.	136	134.10	10.10	184199.76	
Counseling Total:						6960.24
Counseling	1/4 h.	42	12.00	13.81	6960.24	
Crisis Intervention Total:						2331.31
Crisis Intervention - Professional	1 h.	4	9.33	43.57	1626.03	
Crisis Intervention - Technical	1 h.	1	29.00	24.32	705.28	
Environmental Accessibility Adaptations-Home/Vehicle Modification Total:						40950.00
				GRAND TOTAL:		20733949.06
				Total Estimated Unduplicated Participants:		1851
				Factor D (Divide total by number of participants):		11201.49
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Accessibility Adaptations-Home/Vehicle Modification	1 Job	13	1.00	3150.00	40950.00	
Independent Living Skills Development Total:						7094053.32
On-site Group Day Services	1/4 h.	197	1979.00	4.65	1812862.95	
On-site Individual Day Services	1/4 h.	32	1492.00	5.16	246359.04	
Individual Community Integration	1/4 h.	506	873.00	3.99	1762534.62	
Group Community Integration	1/4 h.	176	1781.00	3.87	1213074.72	
Home Skills Development-Individual	1/4 h.	32	1492.00	5.16	246359.04	
Home Skills Development-Group	1/4 h.	197	1979.00	4.65	1812862.95	
Job Discovery Total:						430398.80
Job Discovery On-Site, Individual	1/4 h.	130	380.00	5.55	274170.00	
Job Discovery Off-Site, Individual	1/4 h.	91	290.00	5.92	156228.80	
Occupational Therapy Total:						44648.93
Occupational Therapy	1/4 h.	40	66.68	16.74	44648.93	
Out of Home Respite Total:						127283.11
Out of Home Respite, Day	Day	52	18.63	129.82	125764.42	
Out of Home Respite, Hour	1/4 h.	21	15.79	4.58	1518.68	
Person Centered Strategies Consultation Total:						324655.76
Person Centered Strategies Consultation	1/4 h.	148	143.00	15.34	324655.76	
Physical Therapy Total:						30083.91
Physical Therapy	1/4 h.	39	49.96	15.44	30083.91	
Professional Assessment and Monitoring Total:						514290.00
Registered Nurse	1/4 h.	186	190.00	8.75	309225.00	
Licensed Practial Nurse	1/4 h.	186	90.00	6.00	100440.00	
Dietician					104625.00	

GRAND TOTAL:	20733949.06
Total Estimated Unduplicated Participants:	1851
Factor D (Divide total by number of participants):	11201.49
Average Length of Stay on the Waiver:	328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	1/4 h.	186	90.00	6.25		
Specialized Medical Equipment and Supplies (Adaptive Equipment) Total:						638104.95
Specialized Medical Equipment and Supplies (Adaptive Equipment)	1/4 h.	294	6.73	322.50	638104.95	
Speech Therapy Total:						19666.11
Speech Therapy	1/4 h.	21	60.85	15.39	19666.11	
Support Broker Total:						7986.24
Support Broker	1/4 h.	12	118.00	5.64	7986.24	
Transportation Total:						2015401.44
Transportation	Month	712	9.75	290.32	2015401.44	
				GRAND TOTAL:		20733949.06
				Total Estimated Unduplicated Participants:		1851
				Factor D (Divide total by number of participants):		11201.49
				Average Length of Stay on the Waiver:		328

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
Community Employment Total:						766683.66
Supported Employment - Individual	1/4 h.	93	1172.06	3.99	434916.30	
Supported Employment - Group	1/4 h.	48	1786.00	3.87	331767.36	
In -Home Respite Total:						402565.08
In-Home Respite - Day	1/4 h.	39	11.53	108.96	48996.04	
In-Home Respite - Hour	1/4 h.	121	802.87	3.35	325443.35	
				GRAND TOTAL:		22673502.94
				Total Estimated Unduplicated Participants:		2054
				Factor D (Divide total by number of participants):		11038.71
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
In-Home Respite - Group	1/4 h.	11	1031.00	2.48	28125.68	
Job Preparation Total:						386076.80
Job Preparation On-Site, Individual	1/4 h.	38	380.00	5.55	80142.00	
Job Preparation On-Site, Group	1/4 h.	105	550.00	3.16	182490.00	
Job Preparation Off-Site, Individual	1/4 h.	31	290.00	5.92	53220.80	
Job Preparation Off-Site, Group	1/4 h.	70	285.00	3.52	70224.00	
Personal Assistant Total:						7192261.85
Personal Assistant - Individual	1/4 h.	122	3133.09	2.89	1104664.87	
Personal Assistant - Agency	1/4 h.	446	2289.79	3.91	3993073.19	
Personal Assistant Medical/Behavior	1/4 h.	235	1733.95	3.87	1576940.83	
Personal Assistant - Group	1/4 h.	113	1248.06	3.67	517582.96	
Assistive Technology Total:						831600.00
Assistive Technology	1 job	308	3.00	900.00	831600.00	
Behavior Analysis Service Total:						183560.00
Senior Behavior Consultant	1/4 h.	52	60.00	18.00	56160.00	
Behavior Intervention Specialist	1/4 h.	52	110.00	15.00	85800.00	
Functional Behavior Assessment	1 assessment	52	1.00	800.00	41600.00	
Co-Worker Supports Total:						171976.00
Co-Worker Supports	1/4 h.	83	350.00	5.92	171976.00	
Communication Skills Instruction Total:						29495.76
Communication Skills Instruction	Hour	6	724.00	6.79	29495.76	
Community Specialist Services Total:						205870.32
Community Specialist Services	1/4 h.	152	134.10	10.10	205870.32	
				GRAND TOTAL:		22673502.94
				Total Estimated Unduplicated Participants:		2054
				Factor D (Divide total by number of participants):		11038.71
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Counseling Total:						7954.56
Counseling	1/4 h.	48	12.00	13.81	7954.56	
Crisis Intervention Total:						3144.33
Crisis Intervention - Professional	1/4 h.	6	9.33	43.57	2439.05	
Crisis Intervention - Technical	1/4 h.	1	29.00	24.32	705.28	
Environmental Accessibility Adaptations-Home/Vehicle Modification Total:						44100.00
Environmental Accessibility Adaptations-Home/Vehicle Modification	1 Job	14	1.00	3150.00	44100.00	
Independent Living Skills Development Total:						7842522.95
On-site Group Day Services	1/4 h.	218	1979.00	4.65	2006112.30	
On-site Individual Day Services	1/4 h.	35	1492.00	5.16	269455.20	
Individual Community Integration	1/4 h.	561	873.06	3.99	1954248.77	
Group Community Integration	1/4 h.	194	1781.00	3.87	1337139.18	
Home Skills Development-Individual	1/4 h.	35	1492.00	5.16	269455.20	
Home Skills Development-Group	1/4 h.	218	1979.00	4.65	2006112.30	
Job Discovery Total:						474983.80
Job Discovery On-Site, Individual	1/4 h.	143	380.00	5.55	301587.00	
Job Discovery Off-Site, Individual	1/4 h.	101	290.00	5.92	173396.80	
Occupational Therapy Total:						50230.04
Occupational Therapy	1/4 h.	45	66.68	16.74	50230.04	
Out of Home Respite Total:						141907.42
Out of Home Respite, Day	Day	58	18.63	129.82	140275.70	
Out of Home Respite, Hour	1/4 h.	23	15.49	4.58	1631.72	
Person Centered Strategies Consultation Total:						362048.54
				GRAND TOTAL:		22673502.94
				Total Estimated Unduplicated Participants:		2054
				Factor D (Divide total by number of participants):		11038.71
				Average Length of Stay on the Waiver:		328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Person Centered Strategies Consultation	1/4 h.	165	143.04	15.34	362048.54	
Physical Therapy Total:						32398.06
Physical Therapy	1/4 h.	42	49.96	15.44	32398.06	
Professional Assessment and Monitoring Total:						572355.00
Registered Nurse	1/4 h.	207	190.00	8.75	344137.50	
Licensed Practial Nurse	1/4 h.	207	90.00	6.00	111780.00	
Dietician	1/4 h.	207	90.00	6.25	116437.50	
Specialized Medical Equipment and Supplies (Adaptive Equipment) Total:						705388.12
Specialized Medical Equipment and Supplies (Adaptive Equipment)	1 Item	325	6.73	322.50	705388.12	
Speech Therapy Total:						21539.07
Speech Therapy	1/4 h.	23	60.85	15.39	21539.07	
Support Broker Total:						8651.76
Support Broker	1/4 h.	13	118.00	5.64	8651.76	
Transportation Total:						2236189.80
Transportation	Month	790	9.75	290.32	2236189.80	
				GRAND TOTAL:		22673502.94
				Total Estimated Unduplicated Participants:		2054
				Factor D (Divide total by number of participants):		11038.71
				Average Length of Stay on the Waiver:		328