

**NC Department of Health and Human Services
Division of Health Benefits**

2023 - 2028 CAP/C Waiver Overview

CAP/C Waiver
FMS Overview of Program Operations
May 2023

CAP/C Coverage Overview

Coverage

Application approval period:
March 1, 2023 – February 29, 2028

Target population: 0-20 medically fragile and chronically ill individuals who meet a nurse facility level of care(LOC)

3 service options:

- Provider-led
- Consumer-directed
- Coordinated Caregiving

Coverage

18 [home and community-based services](#)

Initial independent assessments planning

Legally responsible person to become paid caregiver, when qualifying conditions are met

Coordinated transition plan from COVID-19 flexibilities to regular program administration by Nov. 2023

Operational Processes

CAP/C Operations

Maximum participant enrollment

- 6,000 by 2028; 500 more slots each waiver year

Program enrollment requirements:

- Referral
- Meet LOC
- Determination of need (initial independent assessment) to confirm medical fragility & identification of unmet needs/risk factors

Person-centered planning: service plan specific to family needs including goals & preferences

CAP/C Operations

Enrollment service options:

- Provider-led
- Consumer-directed
- Coordinated caregiving

Categories of home and community-based services:

- Hands-on
- Supportive services
- Modification services

Managing beneficiary health, safety and well-being via:

- Monthly case management
- Quarterly face-to-face in-home visits

Person-Centered Planning

- A planning process directed by the waiver participant/caregiver that builds services around their strengths, preferences, and desired outcomes
- The planning process enables a personalized mix of paid and non-paid services and supports that assist the waiver beneficiary with achieving personally defined outcomes within the community



Service Options Descriptions

Provider-Led	Consumer-Directed	Coordinated Caregiving
<p>Hands on support for assistance with ADLs and IADLs managed by an In-Home agency or a Home Health Agency:</p> <ul style="list-style-type: none"> • CAP In-Home Aide • Pediatric Nurse Aide • Congregate Care • Respite services <p>A legally responsible person can seek employment with an In-Home/Home Health Agency to become the paid caregiver for the above listed services other than respite</p>	<p>Personal assistance with ADLs/IADLs and other identified needs as directed by waiver participant/employer of record:</p> <ul style="list-style-type: none"> • CAP In-Home Aide • Pediatric Nurse Aide • Congregate care • Attendant Nurse Care • Respite services <p>A legally responsible person can qualify to be the paid employee for the above services other than respite Paid parent must assign someone else to be the employer of record</p>	<p>Supportive services to assist with ADLs/IADLs, adaptive skill development and skill-level intervention:</p> <ul style="list-style-type: none"> • CAP In-Home Aide • Pediatric Nurse Aide • Congregate care • Attendant Nurse Care <p>A stipend is paid to a live-in caregiver for providing supportive care to the waiver participant. Respite services can be arranged for the live-in caregiver.</p>
<p>Meet the hiring requirements of the In-Home Aide/Home Health Agency</p>	<p>Meet the competency assessment requirements, CPR, background check</p>	<p>Live in same home and willing to be a stand-by caregiver</p>

Person-centered Choices

Hands-on service options minimal hiring requirements

Provider-Led	Consumer Directed	Coordinated Caregiving
<p>CAP In-Home Aide worker:</p> <ul style="list-style-type: none"> • CNAI or CNAII • 18 years and older <p>Pediatric Nurse Aide worker:</p> <p>CNAII</p> <p>18 years old and older</p> <p>Congregate Care worker</p> <ul style="list-style-type: none"> • CNAI or CNAII • 18 years old and older <p>Respite services</p> <ul style="list-style-type: none"> • 18 years old and older • Not a primary caregiver or live-in relative 	<p>CAP In-Home Aide worker</p> <p>Pediatric Nurse Aide worker</p> <p>Congregate Care worker:</p> <ul style="list-style-type: none"> • Meet competency assessment requirements • 18 years and older • Pass background check <p>Attendant Nurse Care worker:</p> <ul style="list-style-type: none"> • RN • LPN supervised by RN • 18 years old and older • Pass background check <p>Respite services</p> <ul style="list-style-type: none"> • 18 years old and older • Not a primary caregiver or live-in relative • Pass a background check 	<p>CAP In-Home Aide acuity level</p> <p>Pediatric Nurse Aide acuity level</p> <p>Congregate care</p> <p>Attendant Nurse Care acuity level:</p> <ul style="list-style-type: none"> • *18 years old and older • Live in the same home <p>Respite services</p> <ul style="list-style-type: none"> • 18 years old and older • Not a primary caregiver or live-in relative <p>* Can be a teen parent</p>

Legally responsible person wanting to be the paid caregiver must meet the [extraordinary criteria](#) outlined in clinical coverage policy 3k-1

Person-Centered Choices

Consumer-directed Services

Waiver participant or Representative/EOR must:

- Be willing and qualified to direct care through evidence of a self-assessment questionnaire
- Post ads/notification of hire
- Hire/manage self-recruited staff
- Negotiate wages based on employee's experience background
- Train/supervise staff
- Collaborate with financial manager to pay employees/resolve payment issues/assure budget management
- Adhere to fraud/waste/abuse reporting and compliance requirements

FMS must:

- Receive a referral from CM
- Provide an overview of the consumer-directed program to waiver participant
- Obtain an EIN for waiver participant & follow guidelines of IRS
- Conduct a background (criminal/registry) check & report results, as needed
- Execution of an employer & employee agreement upon validation of all hiring requirements/forms

Employee Qualifications

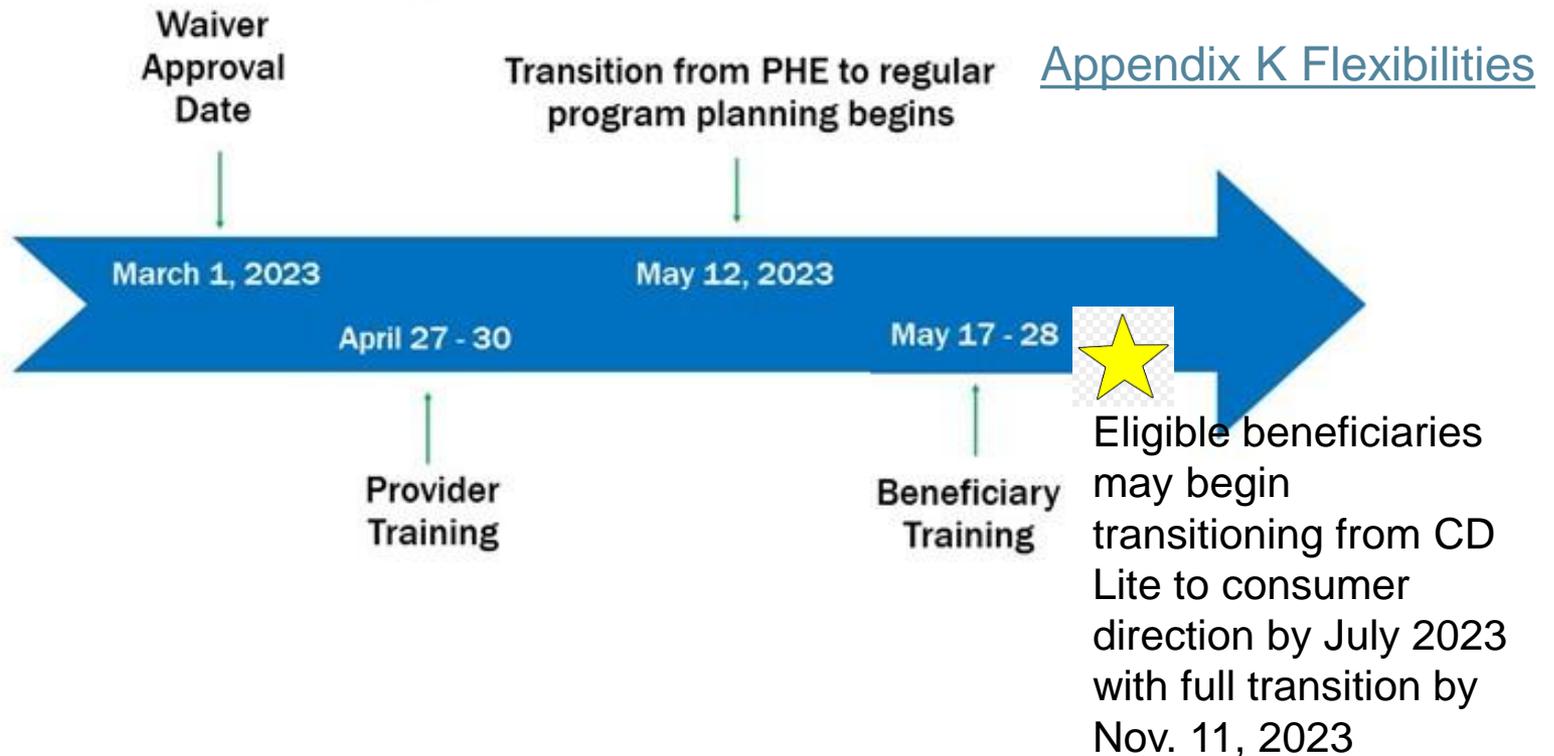
Hands-on Service Options & Standard Minimum Qualifications	Consumer-Directed Qualifications	FMS Validation
<ul style="list-style-type: none"> CAP In-Home Aide/Congregate Care - CNA I 	<ul style="list-style-type: none"> Competency evaluation Completion of background check (criminal and registry) CPR certification, when applicable Paid parent must assign an EOR 	<ul style="list-style-type: none"> Obtained competency validation form No bans background check Current CPR certificate Validation by CM extraordinary conditions were met
<ul style="list-style-type: none"> Pediatric Nurse Aide/Congregate Care – CNA II or + four competencies 	<ul style="list-style-type: none"> Competency evaluation Completion of background check (criminal and registry) CPR certification, when applicable Paid parent must assign an EOR 	<ul style="list-style-type: none"> Obtained competency validation form No bans background check Current CPR certificate Validation by CM extraordinary conditions were met
<ul style="list-style-type: none"> Attendant Nurse Care - RN or LPN 	<ul style="list-style-type: none"> Competency evaluation to include: <ul style="list-style-type: none"> RN or LPN Hours/experience in area of medical need Completion of background check (criminal registry) CPR/BLS Paid parent must assign an EOR 	<ul style="list-style-type: none"> Listed by BON as RN or LPN Obtained competency validation form No bans background check Current CPR/BLS certificate Validation by CM extraordinary conditions were met

Consumer-Direction Assurances

- Respite services can not be provided by the paid caregiver or a live-in caregiver
- Respite hours can not be used to offset hour overage; respite needs must be identified at least 12 hours prior to use
- Paid parent must use respite hours quarterly
- A legally responsible person or a close kinship live-in relative can not exceed more than 40 paid work hours per week
- CD Lite services can not be terminated before Nov. 11, unless the FMS has received confirmation of the transition plan including approved POC.

Rollout/Implementation Plan

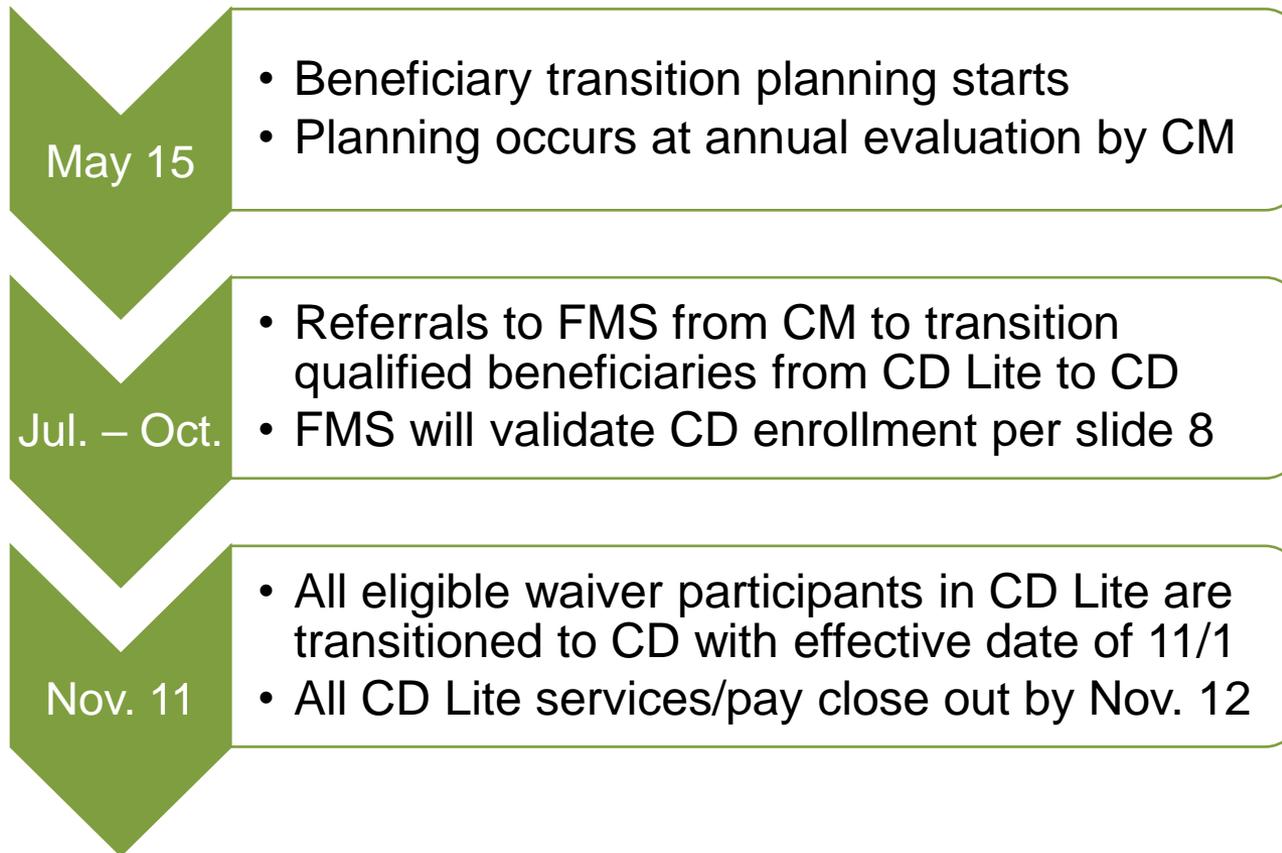
Implementation Timeline



Supporting Waiver Participant to Transfer to CD from CD Lite

- The PHE expires on May 11, 2023, Appendix K ends six months after the expiration of the PHE (Nov. 11, 2023).
- Beginning in May 2023, CM will begin transition planning with at the onset of the waiver participant's annual reassessment.
- Discussion will assist in evaluating health and well-being that leads to a plan of care and appropriateness to enroll in CD.
- Transition from CD Lite to CD may occur when there are no gaps in service provision or pay and when qualifying conditions are met for a legally responsible person to be the paid caregiver.
- The FMS may use background checks and other supporting active/current documents to streamline the waiver beneficiary's enrollment into CD.

CD Lite to CD Transition Plan



Consumer Directable HCBS by Categories

Hands-on	Supportive Services	Modification Services
<p>Personal care type services:</p> <ul style="list-style-type: none"> • *Attendant Nurse Care • CAP In-Home Aide • Congregate Care • *Coordinated Caregiving • Pediatric Nurse Aide • Respite services 	<ul style="list-style-type: none"> • Care management/care coordination • Community transition • *Community integration • Financial management services • *Individual/participant goods and services • Non-medical transportation • Nutritional supplements • Pest eradication • Specialized medical equipment and supplies • Training, Educational and Consultative services 	<ul style="list-style-type: none"> • Assistive Technology • Home accessibility and adaptive services • Vehicle modification <p>Service requests for new budgets are being processed</p>

The CM must authorize the service through a POC-I or revision based on a justification of need evaluation (initial or annual assessment) through collaborative input of the multidisciplinary team, before the FMS can seek reimbursement.

Supporting Waiver Participant to Hire Qualified Employees

- EOR brings awareness of training needs as result of competency validation(employee isn't hired until competency is checked off)
 - CM in collaboration of the FMS complete a plan of care to include training before the hiring of the employee
 - FMS submits the claim to NCTracks for payment and issue payment
- EOR brings awareness the employee does not have CPR certification and can't afford the training prior to employment
 - CM collaborates with the FMS and EOR to create an IRA to address HSW concerns while the EOR and employee work to save money to pay for the CPR training (employee isn't hired until an IRA is in place and fully addresses HSW)
- EOR hires an LPN (employee isn't hired until RN is confirmed, S8)
 - FMS confirms the name of RN and obtain hiring documents (IRS forms, etc.)
 - FMS checks BON for RN listing
 - FMS adds RN as an employee, like how respite employees are added

Virtual Training Schedule

- Virtual training schedule for Providers, CMEs and FMS:
 - For **all provider** - Willing and Qualified provider of Hands-on services; April 28 at 3 pm
 - Registration link:
<https://attendee.gotowebinar.com/register/3757656185287168342>
 - For **CMEs only** – What I need to know as a CAP Case Manager; May 8 at 10 am
 - Registration link:
<https://attendee.gotowebinar.com/register/581328720851656282>
 - **For Financial Management Agencies only**; May 11 at 1-2:30 pm - Assisting families to direct their care through consumer-directed services
 - Registration link:
<https://attendee.gotowebinar.com/register/112766343159979866>

Virtual Training Schedule

- Virtual training schedule for **beneficiaries/families only**:
 - Becoming a paid caregiver for **In-Home and Pediatric Nurse Aide services**; May 17 at 9 am and 12 pm
 - Registration links:
<https://attendee.gotowebinar.com/rt/579766314828632156>
 - **Attendant Nurse Care**, hiring my own nurse; May 22 at 9 am and 12 pm
 - Registration links:
<https://attendee.gotowebinar.com/rt/1494903036766167388>
 - What is **Coordinated Caregiving** and how does it work? May 24 at 9 am and 12 pm
 - Registration links:
<https://attendee.gotowebinar.com/rt/6874293362474229086>



All questions will be compiled and addressed in a FAQ document.

Please type your questions in the chat or raise your hand to state a question.