

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.

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

1. Request Information (1 of 3)

A. The **State of North Carolina** 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*):

TBI Waiver

C. Type of Request: new

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

New to replace waiver

Replacing Waiver Number:

Migration Waiver - this is an existing approved waiver

Provide the information about the original waiver being migrated

Base Waiver Number:

Amendment Number

(if applicable):

Effective Date: (*mm/dd/yy*)

Draft ID: NC.027.00.00

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

Regular Waiver

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

06/01/16

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:

Specialty Hospital Rehabilitative Level of Care to support people with brain injury who have significant cognitive, behavioral and rehabilitative needs.

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

Nursing Facility

Select applicable level of care

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

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

Specialized nursing facility with services to support people with brain injury who have significant cognitive, behavioral and rehabilitative needs.

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

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

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

1. Request Information (3 of 3)

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

Select one:

Not applicable

Applicable

Check the applicable authority or authorities:

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

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

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

This waiver operates concurrently with the NC Mental Health, Intellectual and Developmental Disabilities and Substance Abuse Services Health Plan waiver, #NC-02.

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

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

§1915(b)(2) (central broker)

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

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

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

Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved:

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

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

A program authorized under §1115 of the Act.

Specify the program:

H. Dual Eligibility for Medicaid and Medicare.

Check if applicable:

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

2. Brief Waiver Description

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

The NC TBI waiver operates concurrently with the 1915(B) NC/MH/IDD/SAS Health Plan. MH/IDD/SAS local management entities (LMEs) are area authorities, county programs, or consolidated human service agencies that are designated in State law as "the locus or coordination" for publicly funded mental health, Intellectual/developmental disabilities/traumatic brain injury and substance abuse services in their respective catchment area. LMEs function as fully capitated prepaid inpatient health plans (PIHPs) through which all State Plan MH, SA, and IDD services and TBI waiver services are delivered. The initial TBI waiver will begin operation on June 1, 2016, will waive statewideness, and will begin in Alliance Geographic Area.

Purpose: The waiver is designed to provide an array of community-based services and community alternatives for individuals with traumatic brain injuries who are currently in nursing facilities or specialty rehabilitation hospitals or who are in the community and at risk for placement in nursing facilities or specialized rehabilitation hospitals. The NC TBI Waiver is designed to provide an array of community-based rehabilitative services and supports that facilitates recovery and promotes choice, independence and community involvement. These services provide a community-based alternative to institutional care for persons who continue to require Neuro-Behavioral level of care or require a Skilled Nursing Facility (SNF) level of care.

Goals of the NC TBI Waiver

Beneficiaries in the TBI Waiver will achieve to the fullest extent possible the following:

- (1) Value and support waiver beneficiaries to be fully functioning members of their community.
- (2) Promote rehabilitation; evidence based practices, and promising practices that result in real life outcomes for beneficiaries.
- (3) Offer person centered service options that will facilitate each beneficiary's ability to live in homes of their choice, have employment or engage in a purposeful day of their choice and achieve their life goals.
- (4) Provide the opportunity for all beneficiaries to contribute to the development of their services.
- (5) Provide training and support to foster the development of strong natural support networks that enable beneficiaries to be less reliant on formal support systems.
- (6) Ensure the well-being and safety of the people served.
- (7) Maximize the beneficiary's self-determination, self-advocacy and self-sufficiency.
- (8) Increase opportunities for community integration through work, life-long learning, recreation and socialization.
- (9) Provide quality services and improve outcomes.

Objective in the NC TBI waiver include:

- (1) Enhancing the focus on person centered planning and aligning services and supports with those plans.
- (2) Facilitating smaller community congregate living situations.
- (3) Facilitating living and working in the most integrated setting.
- (4) Improving outcome-based quality assurance systems.

Service Delivery Methods: Services are provided through the local management entities (LMEs) operating as prepaid inpatient health plans. The LME/PIHP Alliance Behavioral Health is responsible for providing services to all waiver beneficiaries in its geographic catchment areas, which covers multiple counties. Enrollment in the LME/PIHP serving one's county of residence is mandatory for all NC TBI waiver beneficiaries and other Medicaid eligibility groups specified in the concurrent 1915(b) waiver. Within three years of contracting with the State as a prepaid health plan, the LME must be accredited by NCQA, Utilization Review Accreditation Commission (URAC) or other accreditation agencies recognized by CMS. NC TBI waiver services are authorized through the annual Individual Support Plan (ISP), which is developed using person centered planning methods. Waiver beneficiaries may select any qualified network provider to furnish authorized services. Beneficiaries in the waiver have a care coordinator who assists them in developing an ISP, ensuring the beneficiary's health and safety needs are met, that services and supports are provided in the most integrated setting, and that the beneficiary is satisfied with the services and supports they are receiving. Services are delivered through a network of contracted community-based service providers that are charged with implementing waiver beneficiaries' ISPs by providing services and supports that enhance the beneficiary's quality of life as defined by the beneficiary. National accreditation is required of providers of waiver services.

3. Components of the Waiver Request

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

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

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

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

4. Waiver(s) Requested

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

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5. Assurances

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

- A. Health & Welfare:** The State assures that necessary safeguards have been taken to protect the health and welfare of persons receiving services under this waiver. These safeguards include:
1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;
 2. Assurance that the standards of any State licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The State assures that these requirements are met on the date that the services are furnished; and,
 3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable State standards for board and care facilities as specified in **Appendix C**.
- B. Financial Accountability.** The State assures financial accountability for funds expended for home and community-based services and maintains and makes available to the Department of Health and Human Services (including the Office of the Inspector General), the Comptroller General, or other designees, appropriate financial records documenting the cost of services provided under the waiver. Methods of financial accountability are specified in **Appendix I**.
- C. Evaluation of Need:** The State assures that it provides for an initial evaluation (and periodic reevaluations, at least annually) of the need for a level of care specified for this waiver, when there is a reasonable indication that an individual might need such services in the near future (one month or less) but for the receipt of home and community-based services under this waiver. The procedures for evaluation and reevaluation of level of care are specified in **Appendix B**.
- D. Choice of Alternatives:** The State assures that when an individual is determined to be likely to require the level of care specified for this waiver and is in a target group specified in **Appendix B**, the individual (or, legal representative, if applicable) is:
1. Informed of any feasible alternatives under the waiver; and,
 2. Given the choice of either institutional or home and community-based waiver services. **Appendix B** specifies the procedures that the State employs to ensure that individuals are informed of feasible alternatives under the waiver and given the choice of institutional or home and community-based waiver services.
- E. Average Per Capita Expenditures:** The State assures that, for any year that the waiver is in effect, the average per capita expenditures under the waiver will not exceed 100 percent of the average per capita expenditures that would have been made under the Medicaid State plan for the level(s) of care specified for this waiver had the waiver not been granted. Cost-neutrality is demonstrated in **Appendix J**.
- F. Actual Total Expenditures:** The State assures that the actual total expenditures for home and community-based waiver and other Medicaid services and its claim for FFP in expenditures for the services provided to individuals under the waiver will not, in any year of the waiver period, exceed 100 percent of the amount that would be incurred in the absence of the waiver by the State's Medicaid program for these individuals in the institutional setting(s) specified for this waiver.
- G. Institutionalization Absent Waiver:** The State assures that, absent the waiver, individuals served in the waiver would receive the appropriate type of Medicaid-funded institutional care for the level of care specified for this waiver.
- H. Reporting:** The State assures that annually it will provide CMS with information concerning the impact of the waiver on the type, amount and cost of services provided under the Medicaid State plan and on the health and welfare of waiver participants. This information will be consistent with a data collection plan designed by CMS.
- I. Habilitation Services.** The State assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.

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

6. Additional Requirements

Note: Item 6-I must be completed.

- A. Service Plan.** In accordance with 42 CFR §441.301(b)(1)(i), a participant-centered service plan (of care) is developed for each participant employing the procedures specified in **Appendix D**. All waiver services are furnished pursuant to the service plan. The service plan describes: (a) the waiver services that are furnished to the participant, their projected frequency and the type of provider that furnishes each service and (b) the other services (regardless of funding source, including State plan services) and informal supports that complement waiver services in meeting the needs of the participant. The service plan is subject to the approval of the Medicaid agency. Federal financial participation (FFP) is not claimed for waiver services furnished prior to the development of the service plan or for services that are not included in the service plan.
- B. Inpatients.** In accordance with 42 CFR §441.301(b)(1)(ii), waiver services are not furnished to individuals who are inpatients of a hospital, nursing facility or ICF/IID.
- C. Room and Board.** In accordance with 42 CFR §441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the State that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.
- D. Access to Services.** The State does not limit or restrict participant access to waiver services except as provided in **Appendix C**.
- E. Free Choice of Provider.** In accordance with 42 CFR §431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the State has received approval to limit the number of providers under the provisions of §1915(b) or another provision of the Act.
- F. FFP Limitation.** In accordance with 42 CFR §433 Subpart D, FFP is not claimed for services when another third-party (e.g., another third party health insurer or other federal or state program) is legally liable and responsible for the provision and payment of the service. FFP also may not be claimed for services that are available without charge, or as free care to the community. Services will not be considered to be without charge, or free care, when (1) the provider establishes a fee schedule for each service available and (2) collects insurance information from all those served (Medicaid, and non-Medicaid), and bills other legally liable third party insurers. Alternatively, if a provider certifies that a particular legally liable third party insurer does not pay for the service(s), the provider may not generate further bills for that insurer for that annual period.
- G. Fair Hearing:** The State provides the opportunity to request a Fair Hearing under 42 CFR §431 Subpart E, to individuals: (a) who are not given the choice of home and community-based waiver services as an alternative to institutional level of care specified for this waiver; (b) who are denied the service(s) of their choice or the provider(s) of their choice; or (c) whose services are denied, suspended, reduced or terminated. **Appendix F** specifies the State's procedures to provide individuals the opportunity to request a Fair Hearing, including providing notice of action as required in 42 CFR §431.210.
- H. Quality Improvement.** The State operates a formal, comprehensive system to ensure that the waiver meets the assurances and other requirements contained in this application. Through an ongoing process of discovery, remediation and improvement, the State assures the health and welfare of participants by monitoring: (a) level of care determinations; (b) individual plans and services delivery; (c) provider qualifications; (d) participant health and welfare; (e) financial oversight and (f) administrative oversight of the waiver. The State further assures that all problems identified through its discovery processes are addressed in an appropriate and timely manner, consistent with the severity and nature of the problem. During the period that the waiver is in effect, the State will implement the Quality Improvement Strategy specified in **Appendix H**.
- I. Public Input.** Describe how the State secures public input into the development of the waiver:

Beneficiary, advocate and provider input on needed TBI services and systems through meetings with the Brain Injury Advisory Association of North Carolina, the Health and Human Services subcommittee of the Brain Injury Advisory Council, meetings with Brain Injury Advisory Council's full group, the TBI Provider Council, Community Care of North Carolina (CCNC), the TBI Specialists at the various MCOs, and two open webinars for individuals interested in the TBI Waiver.

Meetings with the Human Services subcommittee of the Brain Injury Advisory Council were held from 11/2014 to 5/2015 and from 11/15 to 1/16. Participants included individuals with TBI and their families, providers, MCO staff, and advocacy groups.

The State also developed an HCBS Stakeholder group to provide direction and feedback to the HCBS Transition Plan. Additional information on the group and the transition plan/assessment can be found at <http://www.ncdhhs.gov/hcbs/index.html>.

The State also solicited feedback from the Eastern Band of the Cherokee Indians. The Eastern Band of the Cherokee Indians do not wish to take part in the TBI Waiver at this time; however, the ECBI are interested in taking part as the Waiver is expanded outside the original Alliance catchment area and are interested in having culturally competent services included in the TBI Waiver.

The waiver document will be posted for 30 day public comment. Any feedback received will be reviewed and incorporated into the waiver as appropriate. Comments will be available to CMS for review.

- 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:

Richard

First Name:

Dave

Title:

Director

Agency:

Division of Medical Assistance, North Carolina Department of Health & Human Services (N

Address:

2501 Mail Service Center

Address 2:

City:

Raleigh

State:

North Carolina

Zip:

27699-2501

Phone:(919) 855-4105 Ext: TTY**Fax:**

(919) 733-0137

E-mail:

dave.richard@dhhs.nc.gov

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

NA

First Name:**Title:****Agency:****Address:****Address 2:****City:****State:**

North Carolina

Zip:**Phone:** Ext: TTY**Fax:****E-mail:**

8. Authorizing Signature

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

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

Signature:

State Medicaid Director or Designee

Submission Date:

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

Last Name:

First Name:

Title:

Agency:

Address:

Address 2:

City:

State:

North Carolina

Zip:

Phone:

Ext: TTY

Fax:

E-mail:

Attachments**Attachment #1: Transition Plan**

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

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

Specify the transition plan for the waiver:

This is a new waiver.

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

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

Consult with CMS for instructions before completing this item. This field describes the status of a transition process at the point in time of submission. Relevant information in the planning phase will differ from information required to describe attainment of milestones.

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

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

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

As this is a new waiver, all settings will be in compliance with the HCB Setting Standards. To ensure that all settings are in compliance with the HCB Setting Standards, all (Residential and Day) settings will complete the NC HCB Setting Self Assessment to determine if the setting is compliant with the HCB Setting Standards. Providers who self-report or are determined to be non-compliant by the responsible LME-MCO/Local Lead Agency (Case Management Entity) will be required to submit a plan of action to achieve conformity with the rule and must include identified time lines. Any setting that is presumed to have the characteristics of an institutional environment will be subject to heightened scrutiny. For those particular settings, an on-site evaluation will be conducted by the State and LME-MCO/Local Lead Agency to determine if there is sufficient evidence to demonstrate that the setting is not institutional in nature, or that another integrated setting will have to be identified for the provision of the service. Every provider's transition plan will be comprehensively reviewed by the LME-MCO/Local Lead Agency (Case Management Entity) and will be monitored based on approved timeframes with oversight by the State.

Noted the following:

Information on the States HCBS Plan can be found at:<http://www.ncdhhs.gov/hcbs/index.html>

This plan has been submitted to CMS, but has not yet been approved.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

Appendix A: Waiver Administration and Operation

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

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

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

- The Medical Assistance Unit.**

Specify the unit name:

The Division of Medical Assistance, NC Department of Health and Human Services

(Do not complete item A-2)

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

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

(Complete item A-2-a).

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

Specify the division/unit name:

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

Appendix A: Waiver Administration and Operation

2. Oversight of Performance.

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

As indicated in section 1 of this appendix, the waiver is not operated by another division/unit within the State Medicaid agency. Thus this section does not need to be completed.

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

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

Appendix A: Waiver Administration and Operation

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

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

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

DMA contracts with the following entities which assist with administrative and operational activities:

An external Quality Review Organization (EQRO) for quality reviews of the PIHPs;

An MMIS contractor which assists with recipient enrollment and payment;

An actuarial contractor which assists with setting the capitated payments to the PIHPs.

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

Appendix A: Waiver Administration and Operation

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

Not applicable

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

Check each that applies:

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

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

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

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

DMA contracts with local management entities (LME) operating as prepaid inpatient health plans (PIHP) for the delivery of all Medicaid MH/IDD/SA services, including NC TBI waiver services. LME/PIHPs conduct the following operational and administrative activities: utilization management and prior approval activities, provider network credentialing and enrollment and provider reimbursement.

LMEs, as defined in NC General Statute 122C, are area authorities, county programs, or consolidated human services agencies that are designated as “the locus of coordination” for publicly funded mental health, intellectual/developmental disabilities and substance abuse services in their respective catchment areas. Session laws 2011-264 and 2012-151 recently amended the statute to require the delivery of publicly funded services for individuals with mental illness, intellectual/developmental disabilities, and substance abuse disorders through LMEs under the authority of 1915(b)/(c) waivers.

The waiver responsibilities and performance requirements are set forth in a contract between the Division of Medical Assistance and each LME operating under the waivers.

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:

DMA, the State Medicaid Agency, is responsible for assessing the performance of the PIHPs in conducting operational and administrative functions. The DHHS Office of the MMIS, including DMA (the State Medicaid agency), oversees the performance of the MMIS contractor. DMA oversees the rate setting and external quality review contractors.

The Division of Medical Assistance conducted monthly Interdepartmental Monitoring Team meetings prior to the PIHPs becoming operational, and continued these meetings for six months after going live. These meetings convened subject matter experts from both the Division of Medical Assistance and the Division of Mental Health, Substance Abuse, and Developmental Disability Services in the areas of customer services, provider network, clinical policy, claims processing, finance, and other areas as needed. In addition, Mercer, the State’s contracted reviewer, did readiness reviews of all sites 90 and 45 days prior to go live. An onsite review of operations is conducted six months after go live to ensure performance, in addition to weekly, monthly, and quarterly performance monitoring reports, and annual on site performance reviews with a team from the state and Mercer as well as a second review by the External Quality Review Organization.

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:

Oversight and performance of the LME/PIHPs is performed by an Intra-Departmental Monitoring Team (IMT) with representation from all divisions within the DHHS involved in the operation of the 1915(b)/(c) waivers with DMA leading the team. Each PIHP must report to the IMT on internal quality assurance/improvement activities such as consumer and provider surveys, performance measures, complaints and grievances and other issues or concerns that affect service delivery. The team provides feedback and implements corrective action plans as needed. The IMT also conducts an annual on-site review of each PIHP's operations. The team reviews overall PIHP operations, including utilization and care management, clinical direction, executive management, claims processing, financial management, information systems and reporting. A written report of findings is generated and a plan of correction for deficiencies is implemented if needed. Progress with the plan of correction is tracked by the IMT quarterly.

Contracts with the rate setting and external quality review contractors outline specific performance expectations which the contractor must meet. DMA contract managers assess deliverables and performance on an ongoing basis and implement corrective action plans as needed. The MMIS contract also outlines specific expectations and deliverables and performance assessment is monitored on an ongoing basis by DMA and DHHS contract managers.

Appendix A: Waiver Administration and Operation

- 7. Distribution of Waiver Operational and Administrative Functions.** In the following table, specify the entity or entities that have responsibility for conducting each of the waiver operational and administrative functions listed (*check each that applies*):

In accordance with 42 CFR §431.10, when the Medicaid agency does not directly conduct a function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. *Note: More than one box may be checked per item. Ensure that Medicaid is checked when the Single State Medicaid Agency (1) conducts the function directly; (2) supervises the delegated function; and/or (3) establishes and/or approves policies related to the function.*

Function	Medicaid Agency	Contracted Entity	Local Non-State Entity
Participant waiver enrollment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Waiver enrollment managed against approved limits	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Waiver expenditures managed against approved levels	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Level of care evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Review of Participant service plans	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Prior authorization of waiver services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Utilization management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Qualified provider enrollment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Execution of Medicaid provider agreements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Establishment of a statewide rate methodology	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Rules, policies, procedures and information development governing the waiver program	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality assurance and quality improvement activities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

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

a. Methods for Discovery: Administrative Authority

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

i. Performance Measures

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

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

Where possible, include numerator/denominator.

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

Performance Measure:

Performance Measure: DMA ensures that LME/PIHPs follow the enrollment/monitoring process for newly enrolled providers. **Numerator:** Number of LME/PIHPs following the enrollment/monitoring process for newly enrolled providers **Denominator:** Total Number of LME/PIHPs

Data Source (Select one):

Other

If 'Other' is selected, specify:

Review of provider records maintained by the PIHP

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: Contracted external quality review organization (EQRO)	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:

		<input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

PM2 DMA ensures that LME/PIHPs follow the ongoing monitoring process for enrolled providers. Numerator: Number of LME/PIHPs following the monitoring process for enrolled providers Denominator:Total Number of LME/PIHPs

Data Source (Select one):

Other

If 'Other' is selected, specify:

Review of provider records maintained by the PIHP

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

Contracted external quality review organization (EQRO)		<input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

PM3 DMA ensures that LME/PIHPs follow the Level of Care Approval Process.

Numerator: Number of LME/PIHPs following the Level of Care Approval Process

Denominator: Total Number of LME/PIHPs

Data Source (Select one):

Other

If 'Other' is selected, specify:

Review of waiver participant records maintained by the PIHP

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =

<input checked="" type="checkbox"/> Other Specify: Contracted external quality review organization (EQRO)	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:
	<input type="checkbox"/> 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Contracted external quality review organization (EQRO)	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify:

Performance Measure:

PM4 DMA ensures that LME/PIHPs follow the Plan of Care Approval and Implementation Processes. Numerator: Number of LME/PIHPs following the Plan of Care Approval and Implementation Processes Denominator: Total Number of LME/PIHPs

Data Source (Select one):

Other

If 'Other' is selected, specify:

Review of waiver participant records and UM records maintained by the PIHP

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review

<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: Contracted external quality review organization (EQRO)	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

PM5: DMA ensures that LME/PIHPs submit information in a complete and timely manner. Numerator: Number of LME/PIHPs that submit performance measure information in a complete and timely manner Denominator: Total Number of LME/PIHPs

Data Source (Select one):

Other

If 'Other' is selected, specify:

Review of PIHP and DMA documentation of submission and receipt of reporting

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):
	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

<input type="checkbox"/> State Medicaid Agency		
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: Contracted external quality review organization (EQRO)	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

PM6: DMA reviews the PIHP TBI provider network for adequate capacity and choice. (Two available providers within a 30 minute/30 mile radius)

Data Source (Select one):

Other

If 'Other' is selected, specify:

Network capacity studies and geo mapping

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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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs complete studies/mapping and submit to DMA	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs analyze findings in a report to DMA and DMA reviews/confirm report	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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

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.

The PIHPs will address and correct problems identified on a case-by-case basis in accordance with their contracts with DMA. DMA requires a corrective action plan for the problems identified. DMA monitors the corrective action plan with the assistance of the Intra Departmental Monitoring Team (IMT). The PIHP will notify the State immediately of any situation in which the health and safety of a beneficiary is jeopardized.

ii. **Remediation Data Aggregation**

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

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

c. Timelines

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

- No
- Yes

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

Appendix B: Participant Access and Eligibility

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

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

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
<input type="checkbox"/> Aged or Disabled, or Both - General					
	<input type="checkbox"/>	Aged	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
	<input type="checkbox"/>	Disabled (Physical)			
	<input type="checkbox"/>	Disabled (Other)			
<input checked="" type="checkbox"/> Aged or Disabled, or Both - Specific Recognized Subgroups					
	<input checked="" type="checkbox"/>	Brain Injury	22		<input checked="" type="checkbox"/>
	<input type="checkbox"/>	HIV/AIDS			<input type="checkbox"/>
	<input type="checkbox"/>	Medically Fragile			<input type="checkbox"/>
	<input type="checkbox"/>	Technology Dependent			<input type="checkbox"/>
<input type="checkbox"/> Intellectual Disability or Developmental Disability, or Both					
	<input type="checkbox"/>	Autism			<input type="checkbox"/>
	<input type="checkbox"/>	Developmental Disability			<input type="checkbox"/>
	<input type="checkbox"/>	Intellectual Disability			<input type="checkbox"/>
<input type="checkbox"/> Mental Illness					
	<input type="checkbox"/>	Mental Illness			
	<input type="checkbox"/>	Serious Emotional Disturbance			

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

The NC TBI waiver targets individuals who meet SNF and Specialty hospital eligibility criteria defined in the Division of Medical Assistance Clinical Coverage Policy on the DMA website at <http://www.ncdhhs.gov/dma/>. Admission of individuals to the Specialty hospital eligibility is guided by the general criteria for patients with the diagnosis of brain injury with persisting cognitive and behavioral impairments that necessitate 24-hour care and supervision. The beneficiary must also demonstrate the potential to benefit from specialized rehabilitation and requires specialized brain injury services and/or supports that exceed services available through the SNF eligibility.

New Beneficiaries to this waiver will live with private families or in living arrangements in 6 beds or less.

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:

\$135,000.

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

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

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

- The following dollar amount:

Specify dollar amount:

The dollar amount *(select one)*

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

Specify the formula:

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

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

Specify percent:

- Other:

Specify:

Appendix B: Participant Access and Eligibility

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

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

Individuals may apply for the NC TBI waiver by contacting the PIHP Access Center in the [Alliance] catchment area. The intake/screening process is intended to be the preliminary determination of an individual's potential eligibility for services based on the eligibility criteria and need for waiver services. The screening process consists of a comprehensive clinical review including the administration of the TBI Level of Care Form, and the NC TBI Waiver Risk/Support Needs Assessment to determine whether the waiver can meet the individual's needs. If health and/or safety risks are identified the PIHP clinical director (MD, DO, or PhD) will review the assessments and make a determination as to whether the individual's needs can be met by the waiver \$135,000. Written notice of the outcome of this assessment will be provided to the individual. If an individual is terminated from the waiver, the PIHP sends a written notice explaining the reason for the adverse action, instructions on how to access a fair hearing, the time frame for making the request, information on the continuation of services during the appeal (if applicable) and contact information for questions and concerns.

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

- The participant is referred to another waiver that can accommodate the individual's needs.**
- Additional services in excess of the individual cost limit may be authorized.**

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

- Other safeguard(s)**

Specify:

If an individual chooses not to participate in the NC TBI Waiver and is still eligible for Medicaid, other Medicaid funded services, including Skilled Nursing would be made available. The individual's Care Coordinator will inform him/her of the other state and/or local services and supports available in lieu of waiver services.

All opportunities to revise the POC will be explored if a beneficiary can no longer be served in a cost neutral manner. For example, if adding personal support hours pushes costs over the cost neutrality limit because the beneficiary is less able to care for themselves, the use of residential supports can be explored. If an individual needs additional services for a temporary period of time, the MCO can approve those services in order to continue to serve the individual in the program. If the period of time becomes more permanent (more than 6 months) or the costs exceeds the cost neutrality of the program, the individual will be dis-enrolled. In the event there is no solution available, the care coordinator will develop a discharge plan with the beneficiary and representative/s. In some cases it is clearly evident that a nursing facility placement is appropriate and acceptable to the beneficiary and the care coordinator will provide guidance in how to locate a nursing facility in their community.

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	49
Year 2	99
Year 3	

Waiver Year	Unduplicated Number of Participants
	107

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

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

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

Table: B-3-b

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

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	
Emergencies	
Money Follows the Person	

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*):

Emergencies

Purpose (*describe*):

Reserved capacity is for emergency needs in which the individual is at risk of imminent, significant harm.

Describe how the amount of reserved capacity was determined:

Emergency capacity is based upon historical experience as to who were determined to be in an emergency situation requiring immediate admission to the TBI waiver.

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

Waiver Year	Capacity Reserved
Year 1	

Waiver Year	Capacity Reserved
	3
Year 2	3
Year 3	3

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):

Money Follows the Person

Purpose (describe):

Capacity is being reserved to transition individuals using the Money Follows the Person (MFP) federal grant for participants who meet the criteria for MFP and choose to receive home and community-based services.

Describe how the amount of reserved capacity was determined:

MFP reserve capacity is based upon historical experience as to people who have chosen to enter the MFP program and anticipated related transitions.

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

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

Appendix B: Participant Access and Eligibility

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

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

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

e. Allocation of Waiver Capacity.

Select one:

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

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

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

Individuals who seek services funded through the NC TBI waiver will be served on a first come -first serve basis.

Screening for Potential Waiver Eligibility:

Individuals make application for the NC TBI waiver by contacting the PIHP. The intake screening process is intended to be the preliminary determination of an individual's potential eligibility for services based on the waiver eligibility criteria (See B:1-b)

and need for waiver services. The screening process consists of a comprehensive clinical review inclusive of the administration of the NC TBI Level of Care form and the NC TBI Risk /Support Needs Assessment, to determine whether the waiver can meet the individual's needs. If health and/or safety risks are identified, the PIHP will review the assessments and make a determination as to whether the individual's needs can be met on the waiver. Written notification of the outcome of this

assessment will be provided to the individual. Individuals determined to be potentially eligible for the waiver are placed on the Registry of Unmet Needs, if waiver funding is not available.

Reserved Capacity:

When reserved capacity is available, individuals who meet the criteria for reserved capacity slots will have first access to these slots.

Reserved capacity for emergency needs:

Individuals who present with emergency needs are offered entrance to the waiver ahead of other individuals to the extent that reserved capacity is available. A clinical team, inclusive of at least one of the following: medical director (psychiatrist) or the IDD clinical director and a minimum of one TBI specialist, assesses the emergency situation. A person is

considered to have emergency needs when the individual meets the following eligibility criteria and no other service systems can meet the identified need:

The individual is at significant, imminent risk of serious harm which is documented by a professional and meets one or more of the following criteria:

- (1) The primary caregiver(s)/support system is/are not able to provide the level of support necessary to meet the person's exceptional behavioral and exceptional medical needs and documented risk issues.
- (2) The individual requires protection from confirmed abuse, neglect or exploitation as documented by the Department of Social Services.

Reserved capacity for Money Follows the Person (MFP):

When reserved capacity is available, individuals who meet the criteria for Money Follows the Person and choose to receive home and community-based services will receive priority consideration for these reserved slots. If reserved capacity is not available, individuals will be prioritized for entrance to the waiver based on non-reserved criteria.

Appendix B: Participant Access and Eligibility

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

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

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

a.

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

- §1634 State
- SSI Criteria State
- 209(b) State

2. Miller Trust State.

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

- No
- Yes

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

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

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

Select one:

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

Specify percentage:

- Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII) of the Act)
- Working individuals with disabilities who buy into Medicaid (TWWIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)
- Working individuals with disabilities who buy into Medicaid (TWWIA Medical Improvement Coverage Group as provided in §1902(a)(10)(A)(ii)(XVI) of the Act)
- Disabled individuals age 18 or younger who would require an institutional level of care (TEFRA 134 eligibility group as provided in §1902(e)(3) of the Act)
- Medically needy in 209(b) States (42 CFR §435.330)
- Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)
- Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the State plan that may receive services under this waiver)

Specify:

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

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

Select one and complete Appendix B-5.

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

Check each that applies:

- A special income level equal to:

Select one:

- 300% of the SSI Federal Benefit Rate (FBR)

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

Specify percentage:

- A dollar amount which is lower than 300%.

Specify dollar amount:

- Aged, blind and disabled individuals who meet requirements that are more restrictive than the SSI program (42 CFR §435.121)
- Medically needy without 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 7)

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

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

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 7)

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

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

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 7)

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

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

Answers provided in Appendix B-4 indicate that you do not need to 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 7)

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

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

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

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 (5 of 7)

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

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

Answers provided in Appendix B-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 (6 of 7)

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Answers provided in Appendix B-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:

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:

Each PIHP performs the level of care evaluation for the waiver beneficiary.

- 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:

Persons performing initial evaluations of level of care for waiver beneficiaries are psychologists, psychological associates or physicians as appropriate based on the disability of the beneficiary. All professionals must hold current licensure in the state of North Carolina.

Item a.i above specifies that the individual must require at least one service to participate in the waiver. The following exclusions to the one service are added: Assistive Technology, Vehicle Modifications, Home Modifications, Community Transition, and Respite.

- 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 NC TBI waiver targets individuals who meets SNF and Specialty Hospital eligibility criteria defined in The Division of Medical Assistance Clinical Coverage Policy on the DMA website at <http://www.ncdhhs.gov/dma/>.

The NC TBI Level of Care Assessment tool is used to determine the initial LOC for each waiver participant. Annual re-assessment of LOC is confirmed by the care coordinator

- 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 NC TBI Level of Level of Care form integrates information from the FL-2 (SNF) level of care as well as including information appropriate for Specialty Hospital Level of Care.

- 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:

Initial Level of Care Criteria:

Evaluations are completed by a psychologist, licensed psychological associate or physician, as defined in NC General Statutes 122C-3 and as appropriate based on the individual's specific clinical issue. The form used to document the initial LOC determination is called the NC TBI Level of Care Assessment.

Re-evaluation of LOC:

Re-evaluation of LOC is completed annually during or up to 30 days prior to the birth month of the beneficiary. Re-evaluations are completed by qualified professionals who are care coordinators employed or contracted with the PIHP, using the annual recommendation for LOC, a component of the ISP.

Annual assessments include the completion of an assessment of risks and support needs. The findings are addressed in the Individual Support Plan and recommendations.

If the beneficiary's condition and/or life circumstances have changed significantly during the past twelve months and continued eligibility is questionable, the beneficiary is referred to the full evaluation process to verify continued eligibility.

- 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:

Reevaluations of the level of care take place at least annually for each waiver beneficiary according to the following schedule: during or up to 30 days prior to the birth month of the waiver beneficiary. If there is a change in the beneficiary's condition, a re-evaluation is performed within 30-days of the identification of the change in condition.

- 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:

Annual re-evaluations will be completed by a qualified professional who is a care coordinator within the PIHP or in the community.

The QP conducting the annual re-determination of LOC is performed by a QP as defined in NC General Statutes

122C-3 Definitions or 10A NCAC 27G .0104 :

“Qualified Professional means any individual with appropriate training or experience as specified by the General Statutes or by rule of the Commission in the fields of mental health or developmental disabilities or substance abuse treatment or habilitation, including physicians, psychologists, psychological associates, educators, social workers, registered nurses, certified fee-based practicing pastoral counselors, and certified counselors.”

NC Rules for Mental Health, Developmental Disabilities and Substance Abuse Facilities and Services, section 10A NCAC 27G.0103 18 (a)-(d) describe requirements for qualified professionals.

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

The PIHP maintains a computerized tracking system of all level of care evaluations with their annual reevaluation due date. The data is reviewed monthly by the PIHP. The care coordinator is notified if the evaluation is received outside the approved timeline.

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

Records of each LOC evaluation must be maintained by the PIHP for a minimum period of five years for those beneficiaries over the age of 22.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

- i. **Sub-Assurances:**

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

Performance Measures

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

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

Performance Measure:

PM1: Number and percent of new waiver enrollees who have a LOC evaluation prior to receipt of services. Numerator: Number of new C waiver beneficiaries who received an initial LOC evaluation Denominator: Total number of new C waiver beneficiaries

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

--	--	--

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

Performance Measures

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

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

Performance Measure:

Proportion of Level of Care evaluations completed at least annually for enrolled beneficiaries
Numerator: Number of waiver beneficiaries who received an annual LOC re-evaluation
Denominator: Total number of waiver beneficiaries with annual plans (not including new enrollees)

Data Source (Select one):

Other

If 'Other' is selected, specify:

Signature on the Individual Service Plan

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHP	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Semi-annually	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHP	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Semi-annually

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

Performance Measures

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

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

Performance Measure:

Proportion of Level of Care evaluations completed using approved processes and instrument. Numerator: Number of annual LOC evaluations completed using LOC instrument/process for waiver participants Denominator: Total number of waiver participants due for an annual plan

Data Source (Select one):

Other

If 'Other' is selected, specify:

LOC tracking and or Case Record

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHP	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>

	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Semi-annually	

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHP	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Semi-annually

Performance Measure:

Proportion of New Level of Care evaluations completed using approved processes and instrument. Numerator: Number of new waiver participants who received an initial LOC evaluation using approved LOC instrument/process Denominator: Total number of new waiver participants

Data Source (Select one):

Other

If 'Other' is selected, specify:

LOC tracking and or Case Record

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

PIHPs		
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:
	<input type="checkbox"/> 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: semi-annually

- 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. At the annual site review, DMA reviews a sample of charts to ensure LOC is met

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.
The PIHPs will address and correct problems identified on a case by case basis and include the information in the reports to DMA and the Intra-departmental Monitoring Team. DMA may require a corrective action plan(s) if problems are identified. DMA monitors the corrective action plan with the assistance of the Intra-Departmental Monitoring Team. The EQR annual technical report provides detailed information on the regulatory compliance of the PIHPs, as well as results of performance improvement projects (PIPs) and performance measures (PMs). The report provides information about the quality, timeliness and accessibility of care furnished by the PIHPs, assesses strengths and weaknesses and identifies opportunities for improvement. See Managed Care Organization Monitoring Activities - Attachment 4.

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly

Responsible Party(<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: The PIHP	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Semi-Annually

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).

When funding is available, prospective beneficiaries are informed of their feasible alternatives under the waiver and their option to choose of institutional care or waiver services. This decision is documented on the Individual Support Plan (ISP) signature page. Annually, thereafter, the freedom of choice option is reviewed with the beneficiary or the legally responsible person and the decision documented in the ISP

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

The Freedom of Choice statement is maintained in written form as a component of the ISP and is found in the care coordinator's file and the administrative files of the PIHP.

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 PIHP makes available, to beneficiaries with limited English proficiency and their legally responsible representatives, materials that are translated into the prevalent non-English languages of the state. The PIHP makes interpreter services available to individuals with limited English proficiency.

The PIHP must comply with the DHHS Title VI Language Access Policy which ensures that individuals with limited English proficiency (LEP) have equal access to benefits and services for which they may qualify from entities receiving federal financial assistance. The policy applies to the North Carolina DHHS, all divisions/institutions within DHHS and all programs and services administered, established or funded by the Department, including subcontractors, vendors and sub-recipients.

The policy requires all divisions and institutions within DHHS and all local entities, including local management entities (LMEs) participating in the waiver as PIHPs, to draft and maintain a Language Access Plan. The plan must include a system for assessing the language needs of LEP populations and individual LEP applicants/recipients; securing resources for language services; providing language access services; assessing and providing staff training; and monitoring the quality and effectiveness of language access services. Local entities must ensure that effective bilingual/interpretive services are provided to serve the needs of the non-English speaking populations at no cost to the recipient. Local entities must also provide written materials, in languages other than English, where a significant number or percentage of the population eligible to be served, or likely to be directly affected by the program, needs services or information in a language other than English to communicate effectively.

Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	Adult Day Health		
Statutory Service	Day Supports		
Statutory Service	Personal Care		
Statutory Service	Residential Supports		
Statutory Service	Respite		
Statutory Service	Supported Employment		
Extended State Plan Service	Extended State Plan service: OT, PT, SLP		
Other Service	Assistive Technology		
Other Service	Cognitive Rehabilitation (CR)		
Other Service	Community Networking		
Other Service	Community Transistion		
Other Service	Crisis Supports Services		
Other Service	Home Modifications		
Other Service	In Home Intensive Support		
Other Service	Life Skills Training		
Other Service	Natural Supports Education		
Other Service	Resource Facilitation		
Other Service	Specialized Consultation		
Other Service	Vehicle Modifications		

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Adult Day Health

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:

Sub-Category 1:

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

This service is for beneficiaries who have TBI that need a structured day program of activities and services with nursing supervision. It is an organized program of service provided for four or more hours per day on a regularly scheduled basis, for one or more days per week, in an outpatient setting (10A NCAC 06S). The service encompasses both health and social services for either restorative or maintenance support needed to ensure the optimal functioning of the beneficiary.

Refer to: <http://www.ncdhhs.gov/aging/manual/adcahd/Standards2007.pdf>. Adult Day Health

Services are provided by Adult Day Health Centers certified by the North Carolina Division of Aging and Adult Services (DAAS) according to North Carolina Statute 131-D-6. The certification process is conducted by DAAS under 10A NCAC 06R, which states further that local departments of social services are responsible for ongoing monitoring and annual certification of Adult Day Health Centers.

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

The services described in the definition referred above do not exist in state plan other than in the waiver. The amount of Adult Day Health is subject to the Limits on Sets of Services.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

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

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Adult Day Health Center

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Adult Day Health

Provider Category:Agency **Provider Type:**

Adult Day Health Center

Provider Qualifications**License (specify):**

10A NCAC 06R and 10A NCAC 06S

Certificate (specify):

Certified by NC Division of Aging in accordance with NC General Statute 10A, chapter 6, subchapters Q, R, and X.

Other Standard (specify):

Approved as a provider in the PIHP provider network

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health nor safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the beneficiary as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.

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

Adult Day Health and Adult Day Care Programs

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee

qualifications, at a frequency determined by the PIHP, no less than every three years

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

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

Service Type:Statutory Service **Service:**Day Habilitation **Alternate Service Title (if any):**

Day Supports

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

13 Participant Training 010 participant training

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (*Scope*):

Day Supports is a group, facility-based service that provides assistance to the individual with rehabilitation, retention, or modification of socialization and daily living skills and is one option for a meaningful day.

Day Supports emphasizes inclusion and independence with a focus on enabling the individual to attain or maintain his/her maximum self-sufficiency, increase self-determination and enhance the person's opportunity to have a meaningful day. To ensure informed choice among a variety of options for a meaningful day, individuals new to the service will receive education on available options during the planning meeting. Education must include exposure to the same day activities as others in the community and the structure of Day Supports must provide the opportunity to discover his or her skills, interests, and talents in his or her community. Grouping of individuals must be appropriate to the age and preferences of the person.

Day Supports may include prevocational activities. The following criteria differentiate between prevocational and vocational services:

1. Prevocational services are provided to individuals who are not expected to join the general work force or participate in transitional sheltered workshops within one year of service initiation.
2. Prevocational services include activities that are not directed at teaching job-specific tasks but at underlying rehabilitative goals skills (e.g. attention span, attendance, and task completion.)

Individual Day Supports are available to meet specific and well documented needs. These circumstances may include the provision of individual supports due to behavioral or psychiatric destabilization, medical concerns/necessity, or other infrequent and exceptional circumstances. Individual Day Supports related to medical / behavioral / physical support needs shall require supporting medical or behavioral records and accompanying documentation in the ISP supporting the need for individual services as the most appropriate option.

Day Supports are furnished in a non-residential setting, separate from the home or residential setting where the individual resides. Individuals may receive Day Supports outside the facility as long as the outcomes are consistent with the goals described in the Individual Support Plan.

Transportation to/from the individual's home, the day supports facility and travel within the community is included in the payment rate. Transportation to and from the licensed day program is the responsibility of the Day Supports provider.

NC TBI Day Supports Group can be provided in a group setting that includes State-funded Day Supports / Activity as long as the NC TBI Waiver definition is met and the staff meet the qualifications of NC TBI Day Supports Group.

Exclusions:

This service may not duplicate services provided under Adult Day Health, Community Networking, Cognitive Rehabilitation, In-Home Intensive Supports, Life Skills Training, Personal Care, Residential Supports, Supported Employment and/or one of the State Plan Medicaid Services that works directly with the beneficiary.

This service shall not be furnished/billed at the same time of day as Community Networking, Life Skills Training, Personal Care, Residential Supports, Respite, Supported Employment and/or one of the State Plan Medicaid services that works directly with the person.

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

The amount of Day Supports is subject to the "Limit on Sets of Services" specified in appendix C-4.

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	Provider Agencies
Agency	Adult Day Health and Adult Day Care Programs

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Day Supports

Provider Category:

Agency

Provider Type:

Provider Agencies

Provider Qualifications

License (specify):

NC G.S. 122 C-3 and NC Administrative Code Title 10A, subchapters 26B, 26C, 27C, 27D, 27E, and 27G.

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health nor safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with participants must be qualified in CPR and First Aid
- Staff that work with participants must have a high school diploma or high school equivalency (GED)
- Staff that work with participants must be qualified in the customized needs of the participant as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of PIHP.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Day Supports

Provider Category:

Agency

Provider Type:

Adult Day Health and Adult Day Care Programs

Provider Qualifications

License (specify):

Certificate (specify):

Certified by NC Division of Aging in accordance with NC General Statute 10A, chapter 6, subchapters Q, R, and X.

Other Standard (specify):

Approved as a provider in the PIHP provider network

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health nor safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with participants must be qualified in CPR and First Aid
- Staff that work with participants must have a high school diploma or high school equivalency (GED)
- Staff that work with participants must be qualified in the customized needs of the participant as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.

Verification of Provider Qualifications

Entity Responsible for Verification:

Adult Day Health and Adult Day Care Programs

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Personal Care

Alternate Service Title (if any):

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

08 Home-Based Services

030 personal care

Category 2:**Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):**

Personal Care Services under North Carolina State Medicaid Plan differs in service definition and provider type from the services offered under the waiver. Personal Care Services under the waiver include support, supervision and engaging participation with eating, bathing, dressing, personal hygiene and other activities of daily living. Support and engaging the beneficiary describes the flexibility of activities that may encourage the beneficiary to maintain skills gained during habilitation while also providing supervision for independent activities. This service may include preparation of meals, but does not include the cost of the meals themselves.

When specified in the ISP, this service may also include housekeeping chores such as bed making, dusting and vacuuming, which are incidental to the care furnished or which are essential to the health and welfare of the beneficiary, rather than the beneficiary's family. Personal care also includes assistance with monitoring health status and physical condition, assistance with transferring, ambulation, and use of special mobility devices.

Personal Care Services may be provided outside of the private home as long as the outcomes are consistent with the support described in the ISP. Services may be allowed in the private home of the provider / staff if there is documentation in the ISP that the beneficiary's needs cannot be met in the beneficiary's private home or another community location.

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

Personal care services do not include medical transportation and may not be provided during medical transportation and medical appointments. Participants who live in licensed residential facilities, licensed AFL homes, licensed foster care homes or unlicensed alternative family living homes serving one adult, may not receive any aspect of this service nor any other state plan personal care service.

This service may not be provided on the same day that the participant receives regular Medicaid personal care, a home health aide visit, residential supports or another substantially equivalent service.

This service may not be provided at the same time of day that a participant receives: Adult Day Health, Day supports, in home skill building, community networking, respite care, supported employment, or in-home intensive supports.

Personal Care cannot be provided in a licensed program.

This service does not cover the staff member completing home maintenance, housekeeping for areas that are used by other members of the household and/or meal preparation when the same meal is being prepared for other family members.

The amount of personal care is subject to the "Limits on Sets of Services" specified in Appendix C-4.

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	Personal Care Service Provider
Agency	Home Care Agency

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Care

Provider Category:

Agency

Provider Type:

Personal Care Service Provider

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network in accordance with requirements for services in NC General Statute 122-C.

Staff Qualifications:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health nor safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with participants must be qualified in CPR and First Aid
- Staff that work with participants must have a high school diploma or high school equivalency (GED)
- Staff that work with participants must be qualified in the customized needs of the participant as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to participant crisis situations. The participant may select any enrolled crisis services provider in lieu of this provider however.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of PIHP.
- Services provided in private home of the direct service employee are subject to the checklist and monthly monitoring by the provider agency qualified professional.

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

Prior to initial enrollment and at least every three years thereafter

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Care

Provider Category:

Agency

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

Licensed by the NC DHHS Division of Health Service Regulation as a Home Care Agency in accordance with NC General Statute 131-E and NC Administrative Code 13J, chapter 13, subchapter J.

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network

Agency staff that work with participants:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health nor safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with participants must be qualified in CPR and First Aid
- Staff that work with participants must have a high school diploma or high school equivalency (GED)
- Staff that work with participants must be qualified in the customized needs of the participant as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to participant crisis situations. The participant may select any enrolled crisis services provider in lieu of this provider however.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity, capable of meeting all of the requirements of the PIHP. Services provided in private home of the direct service employee are subject to the checklist and monthly monitoring by the provider agency qualified professional.

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

Prior to initial enrollment and at least every three years 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:

Service:

Alternate Service Title (if any):

Residential Supports

HCBS Taxonomy:**Category 1:**

Sub-Category 1:

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Residential Supports provides individualized services and supports to enable a person to live successfully in a Group Home or Alternate Family Living setting of their choice and be an active participant in his/her community. The intended outcome of the service is to increase, regain, or maintain the person's life skills, provide the supervision needed, maximize his/her self-sufficiency, increase self-determination and ensure the person's opportunity to have full membership in his/her community.

Residential Supports consist of an integrated array of individually designed training activities which may be rehabilitative or maintenance, assistance and supervision.

Residential Supports include:

1. Rehabilitation Services aimed at assisting the beneficiary to reacquire, improve, and retain skills in self-help, general household management and meal preparation, personal finance management, socialization and other adaptive areas. Rehabilitation and/or maintenance training outcomes focus on allowing the beneficiary to improve his/her ability to reside as independently as possible in the community.
2. Assistance in activities of daily living when the beneficiary is dependent on others to ensure health and safety.
3. Rehabilitation and/or maintenance services that allow the beneficiary to participate in home life or community activities. Transportation to and from the residence and points of travel in the community is included to the degree that they are not reimbursed by another funding source.

Residential Supports are provided to individuals who live in a community residential setting that meets the home and community based characteristics as outlined in Appendix C of the TBI Waiver document.

1. Facility capacity for all newly developed facilities, approved within the PIHP network and that meet the home and community based characteristics is five beds or less.
2. Facility capacity for existing facilities approved within the PIHP network and meeting the home and community based characteristics, is six beds or less.
3. Facilities that meet the home and community based characteristics, and currently serve a waiver beneficiary, larger than six beds which meet HCBS characteristics as defined in this waiver will be allowed to continue to provide Residential Supports until the waiver beneficiary is discharged from the facility.

No new waiver beneficiaries will be admitted to a facility larger than 6 beds.

Residential Supports may additionally be provided in an AFL situation. The site must be the primary residence of the AFL provider (includes couples and single persons) who receive reimbursement for the cost of care. These sites are licensed or unlicensed in accordance with state rule. All AFL sites will be reviewed using the PIHP AFL checklist for health and safety related issues.

Home and community environment is described in the Location of Services.

NC TBI Waiver respite may also be used to provide temporary relief to individuals who reside in Licensed and Unlicensed AFLs, with regards to Limits on Sets of Services.

Residential Support Levels are determined using the process below:

Level 1 requires a minimum of 1:3 staff to participant ratio during day and evening shifts and non-awake supervision during overnight shift or an awake staff person covering more than one site during the overnight shift.

Level 2 requires a minimum of 1:3 staff to participant ratio during day and evening shifts and awake, on-site supervision during overnight shift.

Level 3 requires a minimum of 1:1 staff to participant ratio during the day and evening shifts and awake, on-site supervision during overnight shift.

Exclusions:

Transportation to/from medical appointments is billed to State Medicaid Plan Transportation rather than Residential Supports.

Beneficiaries who receive Residential Supports may not receive Home Modifications, In-Home Intensive Supports, In-Home Skill Building, Personal Care Services, Respite, Vehicle Modifications, or State Plan Personal Care Services.

This service is not available at the same time of day as Adult Day Health, Community Networking, Day Supports, In-Home Intensive Services, Life Skills Training, Personal Care Services, Residential Supports, Respite, Supported Employment, Cognitive Rehabilitation or one of the State Plan Medicaid services that works directly with the person.

Payments for Residential Supports do not include payments for room and board, the cost of facility maintenance and upkeep.

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

The amount of Residential Supports is subject to the "Limits on sets of services"

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

- Participant-directed as specified in Appendix E
 Provider managed

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

- Legally Responsible Person
 Relative
 Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Unlicensed Supervised Living Facilities
Agency	Supervised Living Facilities, Type F
Individual	Supervised Living Facility, Type C

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Residential Supports

Provider Category:Agency **Provider Type:**

Unlicensed Supervised Living Facilities

Provider Qualifications**License (specify):**

N/A

Certificate (specify):

Other Standard (specify):

Unlicensed Supervised Living Facilities may serve only one adult in accordance with State Rule at 10A NCAC 27 G.5601(b)(1)(2).

Unlicensed Supervised Living Facilities must be approved as a provider in the PIHP provider network and meet the following qualifications:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to beneficiary crisis situations. The beneficiary may select any enrolled crisis services provider in lieu of this provider however.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

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

Local Management entity (LME)/PIHP

Frequency of Verification:

The facility is monitored by the PIHP according to the requirements of the DHHS Monitoring Process. The PIHP credentials the facility initially and at least every 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Residential Supports

Provider Category:Agency **Provider Type:**

Supervised Living Facilities, Type F

Provider Qualifications**License (specify):**

NC Administrative Code 10 A 27G.560; statutory authority: NC General Statute 143B-147

Certificate (*specify*):

Other Standard (*specify*):

Supervised Living Facilities, type F, serve no more than 3 minors or 3 adults with a developmental disability.

Supervised Living Facilities, type F, must be approved as a provider in the PIHP provider network and meet the following qualifications:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to beneficiary crisis situations. The beneficiary may select any enrolled crisis services provider in lieu of this provider however.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

Verification of Provider Qualifications

Entity Responsible for Verification:

The DHHS Division of Health Service Regulation (DHSR) licenses Supervised Living Facilities, type F. Facility employee verification of employee qualifications is conducted upon hiring.

PIHP credentialing is conducted no less than every 3 years.

Frequency of Verification:

DHSR licensure: Annually

The facility verifies employee qualifications upon hiring.

PIHP credentialing is conducted no less than every 3 years.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Residential Supports

Provider Category:

Individual

Provider Type:

Supervised Living Facility, Type C

Provider Qualifications

License (*specify*):

10 A NCAC 27G.5600, statutory authority: NC General Statute 143B-147

Certificate (*specify*):

Other Standard (*specify*):

Supervised Living facilities, type C, serve adults whose primary diagnosis is a developmental disability and may be licensed for 6 beds or less.

Supervised Living Facilities, type C, must be approved as a provider in the PIHP provider network and meet the following qualifications:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP.
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to participant crisis situations. The participant may select any enrolled crisis services provider in lieu of this provider however.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

Verification of Provider Qualifications

Entity Responsible for Verification:

The North Carolina Department of Health and Human Services, Division of Health Services Regulation (DHSR) inspects and licenses supervised living homes. The facility verifies employee qualifications. The PIHP re-verifies agency credentials, including a sample of employee qualifications upon initial review and no less than every three years.

Frequency of Verification:

DHSR: Facility is relicensed annually.

Facility employee verification of employee qualifications: upon hiring

PIHP credentialing: no less than every 3 years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:

09 Caregiver Support

Sub-Category 1:

09012 respite, in-home

Category 2:

09 Caregiver Support

Sub-Category 2:

09011 respite, out-of-home

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Respite services provide periodic or scheduled support and relief to the primary caregiver(s) from the responsibility and stress of caring for the individual. This service may also be used to provide temporary relief to individuals who reside in Licensed and Unlicensed AFLs, with regards to Limits on Sets of Services. This service enables the primary caregiver to meet or participate in planned or emergency events, and to have planned time for him/her and/or family members. This service also enables the individual to receive periodic support and relief from the primary caregiver(s) at his/her choice. Respite may include in and out-of-home services, inclusive of overnight, weekend care, or emergency care (family emergency based, not to include out of home crisis). The primary caregiver(s) is the person principally responsible for the care and supervision of the beneficiary and must maintain his/her primary residence at the same address as the beneficiary.

- The cost of 24 hours of respite care cannot exceed the per diem rate for the average community SNF facility. The amount of Respite Services is subject to the amount of person’s Support Needs Category Budget if currently phased into the Support Needs Matrix.
- This service may not be used as a regularly scheduled daily service in individual support.
- This service is not available to beneficiaries who reside in licensed facilities that are licensed as 5600B or 5600C. Staff sleep time is not reimbursable.
- Respite services are only provided for the individual; other family members, such as children of the individual, may not receive care from the provider while Respite Care is being provided/billed for the individual.
- Respite Care is not provided by any person who resides in the individual’s primary place of residence.
- FFP will not be 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.
-
- Respite may not be used for beneficiaries who are living alone or with a roommate; staff sleep time is not reimbursable.
- This service is not available at the same time of day as Community Networking, Day Supports, Life Skills Training, Personal Care, Supported Employment or one of the State Plan Medicaid Services that works directly with the person such as Private Duty Nursing.
- Residential Support AFL cannot be billed on the same day as Per Diem Respite.

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	Provider Agencies, facility based and in home services
Agency	Provider Agencies, Nursing Respite
Individual	Provider Agencies who operate private respite homes
Agency	Home Care Agencies

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Agency

Provider Type:

Provider Agencies, facility based and in home services

Provider Qualifications

License (specify):

NC General Statute 122C

Certificate (specify):

Other Standard (specify):

Approved by the PIHP Network

1. At least 18 years old
2. If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
3. Criminal background check presents no health and safety risk to beneficiary
4. Supervised by the employer of record or managing employer
5. Not listed in the North Carolina Health Care Abuse Registry
6. Qualified in CPR and First Aid
7. Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP
8. Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
9. State Nursing Board Regulations must be followed for tasks that present health and safety risks to the beneficiary as directed by the PIHP Medical Director or Assistant Medical Director
10. If providing Nursing Respite, must be a Licensed RN or Licensed LPN in North Carolina
11. Services provided in the home of the direct service employees are subject to the checklist and monthly monitoring by the qualified professional

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Agency

Provider Type:

Provider Agencies, Nursing Respite

Provider Qualifications

License (specify):

Licensed by the NC DHHS, Division of Health Services Regulation in accordance with NC General Statute 131E, Article 6, Part C and, as applicable, NC General Statute 122C

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network

1. At least 18 years old
2. If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
3. Criminal background check presents no health and safety risk to beneficiary
4. Supervised by the employer of record or managing employer
5. Not listed in the North Carolina Health Care Abuse Registry
6. Qualified in CPR and First Aid
7. Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP
8. Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
9. State Nursing Board Regulations must be followed for tasks that present health and safety risks to the beneficiary as directed by the PIHP Medical Director or Assistant Medical Director
10. If providing Nursing Respite, must be a Licensed RN or Licensed LPN in North Carolina
11. Services provided in the home of the direct service employees are subject to the checklist and monthly monitoring by the qualified professional

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

Nursing Respite Provider Agencies
PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired
PIHP verifies and re-verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

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

Service Type: Statutory Service

Service Name: Respite

Provider Category:

Individual

Provider Type:

Provider Agencies who operate private respite homes

Provider Qualifications**License (specify):**

Private home respite services serving individuals outside their private home are subject to licensure under NC G.S. 122C Article 2 when:

more than two individuals are served concurrently or either one or two children, two adults, or any combination thereof, are served for a cumulative period of time exceeding 240 hours per calendar month.

Certificate (specify):

Other Standard (specify):

1. At least 18 years old
2. If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
3. Criminal background check presents no health and safety risk to beneficiary
4. Supervised by the employer of record or managing employer
5. Not listed in the North Carolina Health Care Abuse Registry

6. Qualified in CPR and First Aid
7. Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP
8. Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
9. State Nursing Board Regulations must be followed for tasks that present health and safety risks to the beneficiary as directed by the PIHP Medical Director or Assistant Medical Director
10. If providing Nursing Respite, must be a Licensed RN or Licensed LPN in North Carolina
11. Services provided in the home of the direct service employees are subject to the checklist and monthly monitoring by the qualified professional

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

Provider Agencies, Private Respite Homes
PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired
PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

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

Service Type: Statutory Service

Service Name: Respite

Provider Category:

Agency

Provider Type:

Home Care Agencies

Provider Qualifications**License (specify):**

Licensed by the NC DHHS, Division of Health Services Regulation in accordance with NCGS 131E, Article 6, Part C, and North Carolina Administrative Code 10A, Chapter 13-J

Certificate (specify):

Other Standard (specify):

NC G.S. 122C, as applicable

Approved as a provider in the PIHP provider network:

1. At least 18 years old
2. If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
3. Criminal background check presents no health and safety risk to beneficiary
4. Supervised by the employer of record or managing employer
5. Not listed in the North Carolina Health Care Abuse Registry
6. Qualified in CPR and First Aid
7. Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP
8. Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
9. State Nursing Board Regulations must be followed for tasks that present health and safety risks to the beneficiary as directed by the PIHP Medical Director or Assistant Medical Director
10. If providing Nursing Respite, must be a Licensed RN or Licensed LPN in North Carolina
11. Services provided in the home of the direct service employees are subject to the checklist and monthly monitoring by the qualified professional

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

Home Care Agencies
PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired
PIHP verifies and re-verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Supported Employment

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:

Sub-Category 1:

03 Supported Employment 03010 job development

Category 2:

Sub-Category 2:

03 Supported Employment 03021 ongoing supported employment, individual

Category 3:

Sub-Category 3:

03 Supported Employment 03022 ongoing supported employment, group

Category 4:

Sub-Category 4:

Service Definition (Scope):

Supported Employment Services provide assistance with choosing, acquiring, and maintaining a job for individuals for whom competitive employment has not been achieved and /or has been interrupted or intermittent.

The intent of Initial Supported Employment is to assist individuals with developing skills to seek, obtain and maintain competitive employment or develop and operating a micro-enterprise. The employment positions are found based on individual preferences, strengths, and experiences. Job finding is not based on a pool of jobs that are available or set aside specifically for individuals with disabilities.

The transition to long-term supported employment should occur within one year of successful competitive employment, at this time it is expected that staff time will reduce as the individual becomes more independent in her/his job duties. Supported Employment may be needed if the individual's job duties change or if a new job is acquired. Feedback regarding the success and integration of the individual into their position should be obtained from the employer, through employee evaluations that provide information on the level of supervision and

oversight that the individual requires on a daily basis. Part of the responsibility of the employment specialist is providing education to the employer regarding ADA accommodations, in an effort to ensure the transition from ongoing Supported Employment to Long-term follow-up is successful and the individual's needs are met.

Long-term follow-up may be used on a regular basis to meet specific and well documented needs. Long-Term follow-up related to medical / behavioral / physical support needs shall require medical behavioral records and accompanying documentation in the ISP supporting the need for individual services as the most appropriate and viable option.

Initial Supported Employment services include:

1. Pre-job training/education and development activities to prepare a person to engage in meaningful work-related activities which may include career/educational counseling, active job searching, job shadowing, assistance in the use of educational resources, training in resume preparation, job interview skills, study skills, assistance in learning skills necessary for job retention.
2. Assisting an individual to develop and operate a micro-enterprise. This assistance consists of:
 - a. Aiding the individual to identify potential business opportunities;
 - b. Assistance in the development of a business plan, including potential sources of business financing and other assistance; and
 - c. Identification of the supports that are necessary in order for the individual to operate the business.
3. Coaching and employment support activities that enable an individual to complete initial job training or develop skills necessary to maintain employment is completed through activities such as: assistance in job tasks, work adjustment training and counseling.
4. Providing technical support to potential employers regarding Federal ADA accommodations and requirements.

The service includes transportation from the individual's residence and to and from the job site. The provider agency's payment for transportation from the individual's residence and the individual's job site is authorized service time.

Long term follow-up supports include:

1. Coaching and employment support activities that enable an individual to maintain employment is completed through at least monthly face-to-face activities such as monitoring, supervision, maintaining skills necessary for job tasks, work adjustment training and counseling;
2. Ongoing assistance, counseling and guidance for an individual who operates a microenterprise once the business has been launched;
3. Employer consultation with the objective of identifying work related needs of the individual and proactively engaging in supportive activities to address the problem or need.
4. Providing ongoing technical support to potential employers regarding Federal ADA accommodations and requirements.
5. Transportation when the individual's job does not include staffing support. Payments for transportation are established as a per trip charge or mileage.

Documentation will be maintained in the file of each provider agency specifying that this service is not otherwise available under a program funded under Section 110 of the Rehabilitation Act of 1973, or Individuals with Disabilities Education Act (20 U.S.C. 1401 et seq.) for this beneficiary. The provider agency is responsible for obtaining this documentation.

Exclusions:

FFP is not to be 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 supported employment program;
2. Payments that are passed through to users of supported employment programs; or
3. Payments for training that are not directly related to a beneficiary's supported employment program.

While it is not prohibited to both employ an individual and provide service to that same individual, the use of Medicaid funds to pay for Supported Employment Services to providers that are subsidizing their participation in providing this service is improper. The following types of situations are indicative of a provider subsidizing its participation in supported employment:

1. The job/position would not exist if the provider agency was not being paid to provide the service.
2. The job/position would end if the individual chose a different provider agency to provide service.

3. The hours of employment have a one to one correlation with the amount of hours of service that are authorized.

Supported Employment services occur in integrated environments with non-disabled individuals or is a business owned by the beneficiary. Supported Employment services do not occur in licensed community day programs.

This service is not available at the same time of day as Adult Day Health, Community Networking, Day Supports, In-Home Intensive Services, Life Skills Training, Personal Care Services, Residential Supports, Respite, Cognitive Rehabilitation or one of the State Plan Medicaid services that works directly with the person.

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

The amount of Supported Employment Services is subject to the limitation on the number of hours of services.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

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

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Provider Agencies

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Supported Employment

Provider Category:

Agency

Provider Type:

Provider Agencies

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

- Approved as a vendor in the PIHP provider network
- Approved as a provider in the PIHP provider network:
 - Are at least 18 years old
 - If providing transportation, have a valid North Carolina or other valid driver’s license, a safe driving record and an acceptable level of automobile liability insurance
 - Criminal background check presents no health nor safety risk to participant
 - Not listed in the North Carolina Health Care Abuse Registry
 - Staff that work with beneficiaries must be qualified in CPR and First Aid
 - Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
 - Staff that work with beneficiaries must be qualified in the customized needs of the beneficiary as described in the ISP.
 - Paraprofessionals providing this service must be supervised by a qualified professional. Supervision

must be provided according to supervision requirements specified in 10A NCAC 27G.0204(b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.

- Upon enrollment with the PIHP, enrollment as a provider, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.
- Competencies as specified by the PIHP.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies
PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired
PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Extended State Plan Service

Service Title:

Extended State Plan service: OT, PT, SLP

HCBS Taxonomy:

Category 1:

Sub-Category 1:

11 Other Health and Therapeutic Services 080 occupational therapy

Category 2:

Sub-Category 2:

11 Other Health and Therapeutic Services 090 physical therapy

Category 3:

Sub-Category 3:

11 Other Health and Therapeutic Services 100 speech, hearing, and language therapy

Category 4:

Sub-Category 4:

Service Definition (Scope):

Occupational Therapy is a treatment approach that addresses the functional needs of the Individual related to the effects of the injury on adaptive functioning, adaptive behavior and sensory, motor, posture, and perceptual, and/or cognitive abilities. The goal of Occupational therapy is to assist individual with TBI achieve greater independence by regaining physical, perceptual, and cognitive skills through exercises and other related activities.

Occupational Therapy waiver services are provided when the limits of the approved Occupational Therapy State Plan service (i.e., up to six months post injury) are exhausted. Therapeutic treatments provided over and above the amount allowed in the State Plan are provided according to the beneficiaries needs as identified by the licensed provider and in keeping with the rehabilitative intent of the waiver, i.e., that the participant continues to make progress in their rehabilitation.

Physical Therapy is a treatment approach that addresses the promotion of sensor motor function through enhancement of musculoskeletal status, neurobehavioral organization, perceptual and motor development, cardiopulmonary status, and effective environmental adaptation. It includes evaluation to identify movement dysfunction, obtaining, interpreting and integrating information for program planning and treatment to prevent or compensate for functional problems. Through Physical Therapy, people with TBI receive treatment to move and perform functional activities in their daily lives and to help prevent conditions associated with loss of mobility through fitness and wellness programs that achieve healthy and active lifestyles.

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

A maximum of 3,120 units per year (1 unit=15 minutes) either alone or in combination with any other TBI Waiver rehabilitation therapy (PT / OT / ST)

Occupational Therapy waiver services are provided when the limits of the approved Occupational Therapy State Plan service are exhausted. Therapeutic treatments provided over and above the amount allowed in the State Plan are provided according to the beneficiaries needs as identified by the licensed provider and in keeping with the rehabilitative intent of the waiver.

Physical Therapy waiver services are provided when the limits of the approved Physical Therapy State Plan service are exhausted. Therapeutic treatments provided over and above the amount allowed in the State Plan are provided according to the beneficiaries needs as identified by the licensed provider and in keeping with the rehabilitative intent of the waiver.

Speech-Language Therapy waiver services are provided when the limits of the approved Speech-Language Therapy State Plan service are exhausted. Therapeutic treatments provided over the amount allowed in the State Plan are provided according to the beneficiaries needs as identified by the licensed provider and in keeping with the rehabilitative intent of the waiver.

To avoid any overlap of services, Occupational Therapy, Physical Therapy, and Speech and Language Therapy is limited to those services not covered through regular State Plan Medicaid and which cannot be procured from other formal or informal resources. HCBS/TBI waiver funding is used as the funding source of last resort and requires prior authorization from the MCO.

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	Provider Agencies
Individual	Speech Pathologist
Individual	Occupational Therapist
Individual	Physical Therapist

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Extended State Plan service: OT, PT, SLP

Provider Category:

Agency

Provider Type:

Provider Agencies

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

-Staff must hold appropriate NC license for occupational therapy, Physical Therapy, or Speech and Language Therapy

-Criminal background check presents no health or safety risk to beneficiary

-Not listed in the North Carolina Health Care Abuse Registry

-Qualified in the customized need of the beneficiaries as described in the Individual Support Plan

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee

qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Extended State Plan Service

Service Name: Extended State Plan service: OT, PT, SLP

Provider Category:

Individual

Provider Type:

Speech Pathologist

Provider Qualifications

License (specify):

These services must be provided by a Speech Pathologist as defined in 42 CFR 440.110 and be licensed pursuant to North Carolina State law or by a licensed Speech Language Pathologist Assistant under the supervision of a licensed Speech Pathologist

Certificate (specify):

Certification or registration specific to discipline, if applicable

May be provided by an individual under the supervision of an enrolled licensed provider.

Other Standard (specify):

• Staff must hold appropriate NC license for physical therapy,

• Criminal background check presents no health or safety risk to the beneficiary

• Not listed in the North Carolina Health Care Abuse Registry

• Qualified in the customized need of the TBI beneficiaries as described in the Individual Support Plan

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

At time of initial review and annually thereafter

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Extended State Plan Service****Service Name: Extended State Plan service: OT, PT, SLP****Provider Category:**Individual **Provider Type:**

Occupational Therapist

Provider Qualifications**License (specify):**

These services must be provided by an Occupational Therapist as defined in 42 CFR 440.110 and be licensed pursuant to North Carolina State law or by a licensed Occupational Therapy Assistant under the supervision of a licensed Occupational Therapist

Certificate (specify):

Certification or registration specific to discipline, if applicable

May be provided by an individual under the supervision of an enrolled licensed provider.

Other Standard (specify):

Staff must hold appropriate NC license for occupational therapy,

- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Qualified in the customized need of the TBI beneficiaries as described in the Individual Support Plan

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

PIHP

Frequency of Verification:

At time of initial review and annually thereafter

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Extended State Plan Service****Service Name: Extended State Plan service: OT, PT, SLP****Provider Category:**Individual **Provider Type:**

Physical Therapist

Provider Qualifications**License (specify):**

Licensure specific to discipline, if applicable

Certificate (specify):

Certification or registration specific to discipline, if applicable

Other Standard (specify):

- Staff must hold appropriate NC license for physical therapy,
- Criminal background check presents no health or safety risk to the beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Qualified in the customized need of the TBI beneficiaries as described in the Individual Support Plan

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

PIHP

Frequency of Verification:

At time of initial review 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:

Assistive Technology

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

14 Equipment, Technology, and Modifications

010 personal emergency response system (PERS)

Category 2:**Sub-Category 2:**

14 Equipment, Technology, and Modifications

020 home and/or vehicle accessibility adaptations

Category 3:**Sub-Category 3:**

14 Equipment, Technology, and Modifications

031 equipment and technology

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

14 Equipment, Technology, and Modifications

032 supplies

Service Definition (Scope):

Assistive Technology, Equipment and Supplies are necessary for the proper functioning of items and systems, whether acquired commercially, modified, or customized, that are used to increase, maintain, or improve functional capabilities of individuals. This service covers purchases, leasing, trial periods and shipping costs, and as necessary, repair/modification of equipment required to enable individuals to increase, maintain or improve their functional capacity to perform daily life tasks that would not be possible otherwise. Monthly monitoring / connectivity charges may be covered when it is required for the functioning of the item / system. All items must meet applicable standards of manufacture, design, and installation. The Individual Support Plan clearly indicates a plan for training the individual, the natural support system and paid caregivers on the use of the requested equipment and supplies. A written recommendation by an appropriate professional is obtained to ensure that the equipment will meet the needs of the person. This service may cover an evaluation, when the Medicaid State Plan option has been exhausted.

Medical necessity must be documented by the physician, physician assistant, or nurse practitioner, for every item provided/billed regardless of any requirements for approval. A letter of medical necessity written and signed by the physician, physician assistant, or nurse practitioner, or other licensed professional permitted to perform those tasks and responsibilities by their NC state licensing board, may be submitted along with the Certificate of Medical

Necessity/Prescription. Note: the Certificate of Medical Necessity/Prescription still must be completed and signed by the physician, physician assistant, or nurse practitioner.

Assistive Technology: Equipment and Supplies covers the following list of categories:

- Aids For Daily Living or Aids to increase Independent Living
- Aids For Gross Motor Development or Fine Motor Skill Development
- Environmental Controls and Modifications
- Positioning Systems or Devices to aid with Positioning
- Alert and Monitoring Systems
- Sensory Aids
- Communication Aids not covered by regular Medicaid State Plan
- Mobility Aids not covered by DME
- Nutritional supplements covered under the NC DME fee schedule for adults

Medical Supplies not covered by regular state plan formulary

For requests for assistive technology equipment the following additional information is required:

- a plan for how the person and family will be trained when needed on the use of the equipment;
- a written recommendation that includes a physician signature certifying medical necessity (not required for repair); or signature of other appropriate licensed professionals as determined by the PHIP policies
- shipping costs must be itemized in the request to be included, taxes are not coverable;
- other information as required for the specific equipment or supply request;
- quote(s) (PIHP determines how many quotes are required.)

For requests for supplies covered under this definition, the following additional information is required:

- A Statement of Medical Necessity completed by an appropriate professional that identifies the person's need(s) with regard to the equipment and supplies being requested. The Statement of Medical Necessity must state the amount and type of the item that a person needs.
- b. Supplies that continue to be needed at the time of the person's Annual Plan must be recommended by an annual Statement of Medical Necessity by an appropriate professional. The Statement of Medical Necessity must be updated if the amount of the item the person needs changes.

Exclusions:

Items that are not of direct or remedial benefit to the person are excluded from this service.

- Recreational items that would normally be purchased by a family are excluded from this service.
- Computer desks and other furniture items are not covered.
- Service and maintenance contracts and extended warranties; and equipment or supplies purchased for exclusive use at the school/home school are not covered.
- Computer hardware will not be authorized solely to improve socialization or educational skills, to provide recreation or diversion activities, or to be used by any person other than the beneficiary.
- Hot tubs, Jacuzzis, and pools, are not covered.
- Items utilized as restraints are not coverable under the waiver.

Exclusions:

1. Items that are not of direct or remedial benefit to the person are excluded from this service.
2. Computer desks and other furniture items are not covered.
3. Service and maintenance contracts and extended warranties;
4. Computer hardware will not be authorized solely to improve socialization or educational skills, to provide

recreation or diversion activities, or to be used by any person other than the beneficiary.

5. Hot tubs, Jacuzzis, pools, are not covered.

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

The service is limited to expenditures of \$20,000 over the life of the waiver period.

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	Commercial/Retail Businesses
Agency	Home Care Agencies
Agency	Durable Medical Equipment Providers
Agency	Alert Response Centers
Individual	Specialized Vendors

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:

Commercial/Retail Businesses

Provider Qualifications

License (specify):

Applicable state/local business license

Certificate (specify):

Other Standard (specify):

Meets applicable state and local requirements and regulations for type of device that the business is providing.

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

Prior to first use

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Assistive Technology

Provider Category:

Provider Type:

Home Care Agencies

Provider Qualifications**License (specify):**

Licensed by the NC DHHS, Division of Health Services Regulation, in accordance with NCGS 131E, Article 6, Part C

Certificate (specify):

DMA enrolled vendor

Other Standard (specify):

Meets applicable state and local requirements and regulations for type of device that the vendor is providing

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

PIHP

Frequency of Verification:

Prior to first use

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Assistive Technology****Provider Category:**

Provider Type:

Durable Medical Equipment Providers

Provider Qualifications**License (specify):**

Applicable state/local business license

Certificate (specify):

DMA enrolled vendor

Other Standard (specify):

Meets applicable state and local requirements and regulations for type of device that the vendor is providing

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

PIHP

Frequency of Verification:

Prior to first use

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Assistive Technology****Provider Category:**

Provider Type:

Alert Response Centers

Provider Qualifications**License (specify):**

Applicable state/local business license

Certificate (specify):

Other Standard (*specify*):

Response centers must be staffed by trained individuals, 24 hours/day, 365 days/year
Meets applicable state and local requirements and regulations for type of device that the vendor is providing

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

PIHP

Frequency of Verification:

Prior to first use

Appendix C: Participant Services

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

Service Type: Other Service**Service Name:** Assistive Technology**Provider Category:**Individual **Provider Type:**

Specialized Vendors

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

Applicable state/local business license

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

Meets applicable state and local requirements for type of device that the vendor is providing

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

PIHP

Frequency of Verification:

Prior to first use

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:

Cognitive Rehabilitation (CR)

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

11 Other Health and Therapeutic Services	120 cognitive rehabilitative therapy
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Category 2:**Sub-Category 2:**

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Category 3:**Sub-Category 3:**

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

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Service Definition (*Scope*):

Cognitive Rehabilitation is an one-on-one therapy, utilized for the development of cognitive (thinking) skills to improve functional abilities including but not limited to: attention, memory, problem solving, and to help identify impaired thinking. The initial goal of therapy is to improve cognitive functioning to the full extent possible. Compensatory strategies will be introduced as progress slows. This phase will assist to achieve an awareness of the ongoing cognitive limitations, maintain skills learned and teach functional strategies necessary to increase the quality of life and enhance their ability to live successfully in the community of their choice. Compensatory strategies also include the training of significant individuals in the person's life.

Cognitive Rehabilitation includes a traditional approach which focuses on the individual cognitive impairment and tries to remediate or teach compensatory strategies if restorative objectives are unsuccessful. This approach is most often provided in an office setting.

Cognitive Rehabilitation also includes a contextual approach that helps individuals achieve their real-world participation in their chosen real-world activities that are blocked by cognitive impairment. This approach is most often provided in the community or in the home.

Cognitive Rehabilitation (CR) must be provided by independent Physicians, Neuropsychologists, Psychologists, LPC, LCSW, Special Education Teachers, Occupational Therapists and Speech-Language Pathologists, licensed to practice in the State of North Carolina.

Requirements:

Degree in behavioral science field or other appropriate field with appropriate licensure and/or certification for that particular field i.e. Psychology, SW, Special Education, Speech-Language Pathology, Occupational Therapy or Counseling and; PhD and Master's degree must have 40 hours of training in brain injury and one year of experience working with persons with brain injury; bachelor's degree must have 40 hours of training in brain injury and three years of experience working in brain injury

May be provided under the supervision of an enrolled licensed provider.

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

This service may not duplicate services provided under Specialized Consultation Services or Natural Supports Education. This service may not duplicate services provided to family members through natural supports education or specialized consultative 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	Individual Practitioner
Agency	Provider Agencies

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

Service Type: Other Service
Service Name: Cognitive Rehabilitation (CR)

Provider Category:Individual **Provider Type:**

Individual Practitioner

Provider Qualifications**License (specify):**

Licensure specific to discipline, if applicable

Certificate (specify):

Certification or registration specific to discipline, if applicable

Other Standard (specify):

-NC G.S.122C, as appropriate

-Staff must hold appropriate NC license for occupational therapy, speech therapy, psychology, behavioral analysis (licensure subject to psychology board implementation date), Social Work, Counseling; and

PhD and Master's degree must have 40 hours of training in brain injury and one year of experience working with persons with brain injury;

bachelor's degree must have 40 hours of training in brain injury and three years of experience working in brain injury

May be provided under the supervision of an enrolled licensed provider.

Criminal background check presents no health or safety risk to beneficiary

-Not listed in the North Carolina Health Care Abuse Registry

-Qualified in the customized need of the TBI beneficiaries as described in the Individual Support Plan

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

PIHP

Frequency of Verification:

At time of initial review and annually thereafter

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

Service Type: Other Service
Service Name: Cognitive Rehabilitation (CR)

Provider Category:Agency **Provider Type:**

Provider Agencies

Provider Qualifications**License (specify):**

Certificate (specify):

Other Standard (specify):

- NC G.S.122C, as appropriate
- Staff must hold appropriate NC license for occupational therapy, speech therapy, psychology, behavioral analysis (licensure subject to psychology board implementation date), Social Work, Counseling; and

PhD and Master’s degree must have 40 hours of training in brain injury and one year of experience working with persons with brain injury;

bachelor’s degree must have 40 hours of training in brain injury and three years of experience working in brain injury

May be provided under the supervision of an enrolled licensed provider.

Criminal background check presents no health or safety risk to beneficiary

-Not listed in the North Carolina Health Care Abuse Registry

-Qualified in the customized need of the TBI beneficiaries as described in the Individual Support Plan

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

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 Networking

HCBS Taxonomy:

Category 1:

Sub-Category 1:

13 Participant Training

010 participant training

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

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

	
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Service Definition (Scope):

Community Networking services provide individualized day activities that support the beneficiary's definition of a meaningful day in an integrated community setting, with persons who are not disabled. This service is provided separate and apart from the beneficiary's private residence, other residential living arrangement, and/or the home of a service provider. These services do not take place in licensed facilities and are intended to offer the beneficiary the opportunity to develop meaningful community relationships with non-disabled individuals. Services are designed to promote maximum participation in community life while developing natural supports within integrated settings. Community Networking services enable the beneficiary to increase or maintain their capacity for independence and develop social roles valued by non-disabled members of the community. As beneficiaries gain skills and increase community connections, service hours should fade; however a formal fading plan is not required.

Community Networking services consist of:

1. Participation in adult education (College, Vocational Studies, and other educational opportunities);
2. Development of community based time management skills;
3. Community based classes for the development of hobbies or leisure/cultural interests;
4. Volunteer work;
5. Participation in formal/informal associations and/or community groups;
6. Training and education in self-determination and self-advocacy;
7. Using public transportation;
8. Inclusion in a broad range of community settings that allow the beneficiary to make community connections;
9. Transportation when the activity does not include staffing support and the destination of the transportation is an integrated community setting or a self-advocacy activity. Payments for transportation are an established per trip charge or mileage.

This service includes a combination of rehabilitation/maintenance for personal assistance and supports as needed by the beneficiary during activities. Transportation to/from the beneficiary's residence and the training site(s) is included.

Payment for attendance at classes and conferences is also included.

This does not include the cost of hotels, meals, materials or transportation while attending conferences.

This service does not include activities that would normally be a component of a beneficiary's home/residential life or services.

The waiver beneficiary may not volunteer for the Community Networking service provider.

Volunteering may not be done at locations that would not typically have volunteers (i.e. hair salon, florist, etc.) or in positions that would be paid positions if performed by an individual that was not on the waiver.

This service may not duplicate or be furnished/claimed at the same time of day as Adult Day Health, Day Supports, Life Skills Training, Personal Care, Cognitive Rehabilitation, Residential Supports, Respite, Supported Employment or one of the state plan Medicaid services that works directly with the beneficiary.

This service does not pay for overnight programs of any kind.

Classes that offer one-to-one instruction and are in a nonintegrated community setting are not covered.

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

Payment for attendance at classes and conferences will not exceed \$1000/ per participant plan year. The amount of community networking services is subject to the "Limits on Sets of Services" specified in Appendix C-4.

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	Provider Agencies

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Community Networking****Provider Category:**Agency **Provider Type:**

Provider Agencies

Provider Qualifications**License (specify):**

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with participants must be qualified in CPR and First Aid
- Staff that work with participants must have a high school diploma or high school equivalency (GED)
- Staff that work with participants must be qualified in the customized needs of the participant as described in the ISP
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204(b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

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

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

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

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

Service Type:

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

Service Title:

Community Transition

HCBS Taxonomy:**Category 1:**

Sub-Category 1:

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

The purpose of Community Transition is to provide initial set-up expenses for adults to facilitate their transition from a Rehabilitation or Specialty Hospital, Psychiatric Hospital, skilled nursing facility or another licensed living arrangement (group home, alternative family living arrangement), or a family home / one person AFL to a living arrangement where the individual is directly responsible for his or her own living expenses. This service may be provided only in a private home or apartment with a lease in the individual's/legal guardian's/representative's name or a home owned by the individual. In situations where an individual lives with a roommate, Community Transition cannot duplicate items that are currently available.

Covered transition services are:

1. Security deposits that are required to obtain a lease on an apartment or home;
2. Essential furnishings, including furniture, window coverings, food preparation items, bed/bath linens;
3. Moving expenses required to occupy and use a community domicile;
4. Set-up fees or deposits for utility or service access, including telephone, electricity, heating and water; and/or
5. Service necessary for the individual's health and safety such as pest eradication and one-time cleaning prior to occupancy.

Community Transition expenses are furnished only to the extent that the individual is unable to meet such expense or when the support cannot be obtained from other sources. These supports may be provided only once during the life of the waiver. These services are available only during the three-month period that commences one month in advance of the individual's move to an integrated living arrangement.

The Community Transition Checklist is completed to document the items requested under this definition. The Checklist is submitted to the PIHP by the agency that is providing the service.

Exclusions:

Community Transition does not include monthly rental or mortgage expense; regular utility charges; and/or household appliances rented or leased or diversional/recreational/entertainment items such as televisions, DVD players, computers, and other recreational components. Service and maintenance contracts and extended warranties are not covered. Community Transition services can be accessed only one time over the life of the waiver.

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

The cost of Community Transition has a limit of \$5000.00 per individual per life of the waiver.

Community Transition includes the actual cost of services and does not include provider overhead charges.

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	Agencies that provide Resource Facilitation Services
Agency	Commercial/Retail Businesses
Individual	Specialized Vendor Supplies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Transistion

Provider Category:

Agency

Provider Type:

Agencies that provide Resource Facilitation Services

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

G.S. 122C, as applicable
 Credentialed as a provider in the PIHP provider network
 Meets applicable regulations for type of service that the provider/supplier is providing as approved by PIHP

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

Upon initial credentialing; PIHP re-verifies agency credentials at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Transistion

Provider Category:Agency **Provider Type:**

Commercial/Retail Businesses

Provider Qualifications**License (specify):**

Applicable state/local business license

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

Meets applicable regulations for type of service that the provider/supplier is providing as approved by PIHP

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

PIHP

Frequency of Verification:

At the time of first use

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Community Transistion****Provider Category:**Individual **Provider Type:**

Specialized Vendor Supplies

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

Meets applicable state and local regulations for type of service that the provider/supplier is providing as approved by PIHP

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

PIHP

Frequency of Verification:

At the time of first use

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 Supports Services

HCBS Taxonomy:

Category 1:

Sub-Category 1:

10 Other Mental Health and Behavioral Services 030 crisis intervention

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Crisis Supports provides intervention and stabilization for individuals experiencing a crisis. Crisis Supports are for individuals who experience acute crises and who present a threat to the person's health and safety or the health and safety of others. These behaviors may result in the person losing his or her home, job, or access to activities and community involvement. Crisis Supports promote prevention of crises as well as assistance in stabilizing the individual when a behavioral crisis occurs. Crisis Supports are an immediate intervention available 24 hours per day, 7 days per week, to support the individual. Service authorization can be granted verbally or planned through the ISP to meet the needs of the individual. Following service authorization, any needed modifications to the ISP and individual budget will occur within five (5) working days of the date of verbal service authorization.

The Comprehensive Crisis Plan must be updated as warranted in collaboration with the team within 14 days of a crisis, in an effort to ensure it meets the individual's needs and is reflective of anything learned from the crisis.

Crisis Intervention & Stabilization Supports

Staff trained in Crisis Services Competencies is available to provide "first response" crisis services to individuals they support, in the event of a crisis. These activities include:

- Assess the nature of the crisis to determine whether the situation can be stabilized in the current location or if a higher-level intervention is needed
- Determine and contact agencies needed to secure higher level intervention or out-of-home services
- Provide direction to staff present at the crisis or provide direct intervention to de-escalate behavior or protect others living with the individual during behavioral or medical episodes.
- Contact the care coordinator following the intervention to arrange for a treatment team meeting for the individual and/or provide direction to service providers who may be supporting the individual in day programming and community settings, including direct intervention to de-escalate behavior or protect others during behavioral episodes. This may include enhanced staffing provided by a QP to provide one additional staff person in settings

where the participant may be receiving other services.

Out-of-Home Crisis Supports

- Out-of-home crisis is a short-term service for an individual experiencing a crisis and requiring a period of structured support and/or programming. The service takes place in a licensed facility. Out of-home crisis may be used when an individual cannot be safely supported in the home, due to his/her behavior, and implementation of formal behavior interventions have failed to stabilize the behaviors, and/or all other approaches to insure health and safety have failed. In addition, the service may be used as a planned respite stay for waiver participants who have heightened behavioral needs.
- Out-of-Home Crisis services will be authorized in increments of up to 30 calendar days

Crisis Consultation

- Crisis consultation is for individuals that have significant, intensive, or challenging behaviors that have resulted or have the potential to result in a crisis situation. Consultation is provided by staff that meets the minimum staffing requirements of a Qualified Professional, who have crisis experience. Non-licensed staff must meet the core competency requirements outlined in the Waiver and the activities performed by non-licensed staff must be overseen by licensed staff with experience serving individuals with TBI and behavioral health needs.

- Crisis consultation may be used to:

1. Facilitate up to monthly treatment team meetings with other members of the treatment team to:

a. Discuss clinical findings / situations and recent crises regarding the individual;

b. Evaluate and refinement of the Comprehensive Crisis Plan after a crisis in collaboration with the person's team to include unplanned and preplanned crisis management approaches to address crises before, during and after the crisis;

c. Communicate any changes that should occur to the Comprehensive Crisis Plan with the Care Coordinator

2. Train, educate, and provide ongoing technical assistance to the natural supports and direct support professional on crisis interventions and strategies to mitigate issues that resulted in the crisis, and on implementation of the crisis plan.

3. Develop and implement strategies to aid the person in returning home after an out of home crisis stay or hospitalization.

4. referral for medication evaluation if appropriate.

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

Crisis Intervention & Stabilization Supports may be authorized for periods of up to 14 calendar day increments per event.

Out-of-Home Crisis services may be authorized in increments of up to 30 calendar days

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	Provider Agencies who operate licensed facilities
Agency	Provider Agencies Primary Crisis Response
Agency	Independent Practitioners

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Crisis Supports Services

Provider Category:

Agency

Provider Type:

Provider Agencies who operate licensed facilities

Provider Qualifications

License (specify):

North Carolina General Statute 122C

Must be licensed according to NC Administrative Code 10A 27G.5100 or have waiver of licensure granted by licensing agency

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the beneficiary as described in the ISP
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204(b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Upon enrollment with the PIHP, must have achieved national accreditation with at least one of the designated accrediting agencies.

The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

Staff providing Crisis Services, including first response activities, shall demonstrate strong clinical skills, professional qualifications, experience, and competency. Staff must meet all applicable competency requirements including crisis prevention, intervention and resolution techniques and trauma-informed care.

Crisis Services staff must have access to a board-eligible or board certified psychiatrist OR psychiatric nurse practitioner with a minimum of one year of experience serving individuals with TBI and mental health needs OR a physician assistant with a minimum of one year of experience serving individuals with TBI and mental health needs.

In addition, all Crisis Services staff must have access to a licensed practicing psychologist with a minimum of one year of experience in working with individuals with TBI.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider agency verifies employee qualifications at the time employee is hired PIHP

verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Supports Services

Provider Category:

Agency

Provider Type:

Provider Agencies Primary Crisis Response

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Approved

as a provider in the PIHP provider network:

- Are at least 18 years old
 - Provided by a qualified professional in the field of Brain Injury, who meets competencies established by the PIHP
 - If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
 - Criminal background check presents no health or safety risk to beneficiary
 - Not listed in the North Carolina Health Care Abuse Registry
 - Staff that work with beneficiaries must be qualified in CPR, First Aid and NCI
 - Staff that work with beneficiaries must be qualified in the customized needs of the beneficiary as described in the ISP
 - Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP. This includes national accreditation within the prescribed timeframe Staff providing Crisis Services, including first response activities, shall demonstrate strong clinical skills, professional qualifications, experience, and competency. Staff must meet all applicable competency requirements including crisis prevention, intervention and resolution techniques and trauma-informed care.
- Crisis Services staff must have access to a board-eligible or board certified psychiatrist OR psychiatric nurse practitioner with a minimum of one year of experience serving individuals with TBI and mental health needs OR a physician assistant with a minimum of one year of experience serving individuals with TBI and mental health needs.
- In addition, all Crisis Services staff must have access to a licensed practicing psychologist with a minimum of one year of experience in working with individuals with TBI.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider agency verifies employee qualifications at the time employee is hired PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Supports Services

Provider Category:Agency **Provider Type:**

Independent Practitioners

Provider Qualifications**License (specify):**

Licensure specific to discipline, if applicable

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

Approved by the PIHP as an Independent Practitioner or as a provider in the PIHP provider network

Staff that work with individuals:

Are at least 18 years old

Criminal background check presents no health and safety risk to individual

Not listed in the North Carolina Health Care Abuse Registry

Staff holds NC license for psychologist or psychological associate

Meets Crisis Services Competencies specified by the PIHP.

Qualified in customized needs of the individual as described in the ISP

The organization must be established as a legally constituted entity, capable of meeting all the requirements of the PIHP.

Staff providing Crisis Services, including first response activities, shall demonstrate strong clinical skills, professional qualifications, experience, and competency. Staff must meet all applicable competency requirements including crisis prevention, intervention and resolution techniques and trauma-informed care.

Crisis Services staff must have access to a board-eligible or board certified psychiatrist OR psychiatric nurse practitioner with a minimum of one year of experience serving individuals with TBI and mental health needs OR a physician assistant with a minimum of one year of experience serving individuals with TBI and mental health needs.

In addition, all Crisis Services staff must have access to a licensed practicing psychologist with a minimum of one year of experience in working with individuals with TBI.

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

Provider Agencies

PIHP

Frequency of Verification:

Provider agency verifies employee qualifications at the time employee is hired; if provider is an individual practitioner, the PIHP verifies employee qualifications prior to contracting with individual and at least every 3 years thereafter.

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

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

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

Service Type:Other Service 

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

Service Title:

Home Modifications

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

14 Equipment, Technology, and Modifications

4020 home and/or vehicle accessibility adaptations **Category 2:****Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):**

Home Modifications are physical modifications to a private residence that are necessary to ensure the health, welfare, and safety of the beneficiary or to enhance the beneficiary's level of independence. A private residence is a home owned by the beneficiary or his/her family (natural or adoptive). Items that are portable may be purchased for use by a beneficiary who lives in a residence rented by the beneficiary or his/her family. This service covers purchases, installation, maintenance, and as necessary, the repair of home modifications required to enable beneficiaries to increase, maintain or improve their functional capacity to perform daily life tasks that would not be possible otherwise. A written recommendation by an appropriate professional is obtained to ensure that the equipment will meet the needs of the beneficiary.

Medical necessity must be documented by the physician, physician assistant, or nurse practitioner, for every item provided/billed regardless of any requirements for approval. A letter of medical necessity written and signed by the physician, physician assistant, or nurse practitioner, or other licensed professional permitted to perform those tasks and responsibilities by their NC state licensing board, may be submitted along with the Certificate of Medical Necessity/Prescription. Note: the Certificate of Medical Necessity/Prescription still must be completed and signed by the physician, physician assistant, or nurse practitioner.

All Home Modifications requiring a building permit must meet county code to pass inspection. Items that are not of direct or remedial benefit to the beneficiary are excluded from this service. Repair of equipment is covered for items purchased through the waiver or purchased prior to waiver participation, as long as the item is identified within this service definition and the cost of the repair does not exceed the cost of purchasing a replacement piece of equipment. The waiver beneficiary or his/her family must own any equipment that is repaired.

1. Ramps and Portable Ramps
2. Grab Bars
3. Handrails
4. Lifts, elevators, manual, or other electronic lifts, including portable lifts or lift systems that are used inside an individual's home
5. Porch stair lifts
6. Modifications and/or additions to bathroom facilities
 - a. Roll in shower
 - b. Sink modifications
 - c. Bathtub modifications/grab bars

- d. Toilet modifications
- e. Water faucet controls
- f. Floor urinal and bidet adaptations
- g. Plumbing modifications
- 7. Widening of doorways/hallways, turnaround space modifications for improved access and ease of mobility, installation of pocket doors, swing-clear (recessed) hinges, modification of door swing direction, excluding locks that restrict an individual's rights
- 8. The following specific specialized adaptations:
 - a. Shatterproof windows
 - b. Floor coverings for ease of ambulation for individuals with mobility limitations
 - c. Modifications to meet egress regulations directly related to the modification requested
 - d. Automatic door openers/doorbells
 - e. Voice activated, light activated, touch activated, motion activated electronic devices to control the individual's home environment
 - f. Medically necessary portable heating and/or cooling adaptation to be limited to one unit per individual
 - g. Installation of rounded counter tops
 - h. Lowering of shelves / closet dowel rods / cabinets
 - i. Protective covering for ramp
 - j. Wall coverings to prevent damage

Exclusions:

Individuals who receive Residential Supports may not receive this service.

Adaptations that add to the total square footage of the home are excluded from this benefit except when necessary to complete an adaptation (e.g., in order to improve entrance/egress to a residence or to configure a bathroom to accommodate a wheelchair).

Central air conditioning; general plumbing; swimming pools; Jacuzzis; service and maintenance contracts and extended warranties are not covered.

Locks that are used to restrict an individual's rights are not a covered modification.

Waiver funding will not be used to replace equipment that has not been reasonably cared for and maintained.

Home Modifications do not cover new construction, costs associated with building a new home, financing of a new home, and/or down payment of a new home.

Home Modifications exclude adaptations, improvements or repairs to the residence which are of general utility, and are not of direct or remedial benefit to the individual or in some way related to the individual's disability.

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

The service is limited to expenditures of \$20,000 over the duration of the waiver.

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

- Participant-directed as specified in Appendix E
- Provider managed

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

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Individual	Specialized Vendors
Agency	Commercial/Retail Businesses

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Home Modifications****Provider Category:**Individual **Provider Type:**

Specialized Vendors

Provider Qualifications**License (specify):**

Applicable state/local business license

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

All services are provided in accordance with applicable state or local building codes and other regulations.

All items must meet applicable standards of manufacture, design and installation.

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

PIHP

Frequency of Verification:

Prior to first use

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Home Modifications****Provider Category:**Agency **Provider Type:**

Commercial/Retail Businesses

Provider Qualifications**License (specify):**

Applicable state/local business license

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

All services are provided in accordance with applicable state or local building codes and other regulations.

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

PIHP

Frequency of Verification:

Prior to first use

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:

In Home Intensive Support

HCBS Taxonomy:

Category 1:

13 Participant Training

Sub-Category 1:

010 participant training

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

In- Home Intensive support is available to support beneficiaries in their private home, when the beneficiary needs extensive support and supervision. Rehabilitation, maintenance support and/or supervision are provided to assist with positioning, intensive medical needs, elopement and/or behaviors that would result in injury to self or other people. Staff implements interventions and assistance as defined in the ISP. The ISP includes an assessment and a fading plan or plan for obtaining assistive technology to reduce the amount of intensive support needed by the beneficiary.

Authorization Process:

Long-Term follow-up related to for individual services as the most appropriate and viable option.

1. In-Home Intensive Supports may only be provided to beneficiaries who have documented exceptional medical, behavioral, or physical support needs. Medical / behavioral / physical support needs shall require medical / behavioral records with accompanying documentation in the ISP supporting the need for this services

2. In-Home Intensive Support requires prior authorization by PIHP

3. In-Home Intensive Support requires approval by PIHP at a minimum of every 90 days.

These services are provided in the beneficiary's private home, not in the home of the direct service employee. The beneficiary may receive personal care or community networking outside the private home. These services are not provided in the home or office of a staff person or agency.

Exclusions

This service is not provided to participants who receive Residential Supports. This service may not be furnished / billed at the same time of day as Adult Day Health, Cognitive Rehab., Day Supports, Community Networking, Life Skills Training, Personal Care, Respite, Supported Employment or one of the State Plan Medicaid services that works directly with the person.

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

The amount of in-home intensive support is subject to the "Limits on Sets of Services" specified in Appendix C-4.

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	Provider Agencies

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

Service Type: Other Service

Service Name: In Home Intensive Support

Provider Category:

Agency

Provider Type:

Provider Agencies

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver's license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health and safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the TBI beneficiary as described in the ISP provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to beneficiary crisis situations. The beneficiary may select any enrolled crisis services provider in lieu of this provider however
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Life Skills Training

HCBS Taxonomy:

Category 1:

Sub-Category 1:

13 Participant Training

010 participant training

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Life Skills Training provides rehabilitation and skill building to enable the beneficiary to acquire and maintain skills, which support more independence. Life Skills Training augments the family and natural supports of the beneficiary and consists of an array of services that are required to maintain and assist the beneficiary to live in community settings.

Life Skills Training consists of:

1. Training in interpersonal skills and development and maintenance of personal relationships
2. Skill building to support the beneficiary in increasing community living skills, such as shopping, recreation, personal banking, grocery shopping and other community activities
3. Training with therapeutic exercises, supervision of self-administration of medication and other services essential to healthcare at home, including transferring, ambulation and use of special mobility devices
4. Transportation to support implementation of in-home skill building

Life Skills Training may be provided when a primary caregiver is home or when that primary caregiver is regularly

scheduled to be absent. Life Skills Training is individualized, specific, and consistent with the beneficiary’s assessed disability specific needs and is not provided in excess of those needs. Life Skills Training is furnished in a manner not primarily intended for the convenience of the beneficiary, primary caregiver, the provider, or the provider/ employer of record. It is anticipated that the presence of Life Skills Training will result in a gradual reduction in hours as the individual reacquires the skills necessary to take on additional tasks and masters skills (fading plan). This service is distinctive from personal care by the presence of rehabilitation. The mixture of Life Skills Training and personal care must be specified in the Individual Support Plan. It is anticipated that the presence of Life Skills Training will result in a gradual reduction in hours as the beneficiary is trained to take on additional tasks and masters skills (fading plan). A formal fading plan is not required.

These services are provided in the beneficiary’s private home and not in the home of the direct service employee. Life Skills Training Services must start and/or end at the home of the beneficiary.

Exclusions

This service is not provided to beneficiaries who receive Residential Supports. This service is not provided to participants who receive Residential Supports. This service may not be furnished / billed at the same time of day as Adult Day Health, Cognitive Rehab., Day Supports, Community Networking, In Home Intensive Supports, Personal Care, Respite, Supported Employment or one of the State Plan Medicaid services that works directly with the person.

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

The amount of Life Skills Training is subject to the “Limits on Sets of Services” specified in Appendix C-4

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	Provider Agencies

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Life Skills Training

Provider Category:

Agency

Provider Type:

Provider Agencies

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver’s license, a safe driving

- record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with TBI beneficiaries must be qualified in the customized needs of the participant as described in the ISP
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to participant crisis situations. The participant may select any enrolled crisis services provider in lieu of this provider however
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Natural Supports Education

HCBS Taxonomy:

Category 1:

Sub-Category 1:

09 Caregiver Support

09020 caregiver counseling and/or training

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

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Service Definition *(Scope):*

Natural Supports Education provides training to families and the beneficiary’s natural support network in order to enhance the decision making capacity of the natural support network, provide orientation regarding the nature and impact of the TBI and its co-occurring disabilities upon the beneficiary, provide education and training on rehabilitation and/or compensatory intervention/strategies, and provide education and training in the use of specialized equipment and supplies. The requested education and training must have outcomes directly related to the needs of the beneficiary or the natural support network’s ability to provide care and support to the beneficiary. In addition to individualized natural support education, reimbursement will be made for enrollment fees and materials related to attendance at conferences and classes by the primary caregiver. The expected outcome of this training is to develop and support greater access to the community by the beneficiary by strengthening his or her natural support network.

Exclusions:

The cost of transportation, lodging, and meals are not included in this service.

Natural Supports Education excludes training furnished to family members through Specialized Consultation Services or Cognitive Rehabilitation.

Training and education, including reimbursement for conferences, are excluded for family members and natural support networks when those members are employed to provide supervision and care to the beneficiary.

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

Reimbursement for conference and class attendance will be limited to \$1,000 per participant plan 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	Provider Agencies

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Natural Supports Education

Provider Category:

Agency

Provider Type:

Provider Agencies

Provider Qualifications

License *(specify):*

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Certificate *(specify):*

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Other Standard *(specify):*

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver’s license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to participant
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with TBI beneficiaries must be qualified in the customized needs of the participant as described in the ISP
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Enrolled to provide crisis services or has an arrangement with an enrolled crisis services provider to respond to participant crisis situations. The participant may select any enrolled crisis services provider in lieu of this provider however
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP.

Has expertise as appropriate in the field in which the training is provided in the ISP.

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Verifies employee qualifications at the time employee is hired

Upon initial review

PIHP re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Resource Facilitation

HCBS Taxonomy:

Category 1:

Sub-Category 1:

17 Other Services 990 other

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

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Category 4:

Sub-Category 4:

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Service Definition (Scope):

Resource Facilitation promotes the coordination of medical, behavioral, social and unpaid supports to address the beneficiary’s needs. Resource Facilitation also informs the planning process with the team and assists beneficiaries with assuring coordinated supports, including direct services.

Specific functions include:

- Synthesizing existing assessments and determining needs and risks.
- Coordinating with the medical, behavioral, social and unpaid supports along with the team and the Care Coordination to determine the needed services/supports.
- Work with the beneficiary, the family (as appropriate) and the individual’s team as needed to assess, plan, identify, reassess, educate, train, develop resources, and provide emotional support, outreach and advocacy.

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

Exclusions:

1. This service does not duplicate care coordination. Care coordination under managed care includes the development of the ISP, completing or gathering evaluations inclusive of the re-evaluation of the level of care, monitoring the implementation of the ISP, choosing service providers, coordination of benefits and monitoring the health and safety of the beneficiary consistent with 42 CFR 438.208(c).

2. The only other service that a Resource Facilitation provider may provide to the same individual, in addition to Community Navigator Services is Community Transition.

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	Provider agencies

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Resource Facilitation

Provider Category:

Agency	
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Provider Type:

Provider agencies

Provider Qualifications

License (specify):

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Certificate (specify):

Other Standard *(specify):*

Must meet requirements of NC General Statute 122C, as applicable

Approved as a provider in the PIHP provider network:

- Are at least 18 years old
- If providing transportation, have a valid North Carolina or other valid driver’s license, a safe driving record and an acceptable level of automobile liability insurance
- Criminal background check presents no health or safety risk to the beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Staff that work with beneficiaries must be qualified in CPR and First Aid
- Staff that work with beneficiaries must have a high school diploma or high school equivalency (GED)
- Staff that work with beneficiaries must be qualified in the customized needs of the beneficiary as described in the ISP
- Paraprofessionals providing this service must be supervised by a qualified professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G.0204 (b) (c) (f) and according to licensure or certification requirements of the appropriate discipline.
- Upon enrollment with the PIHP, the organization must have achieved national accreditation with at least one of the designated accrediting agencies. The organization must be established as a legally constituted entity capable of meeting all of the requirements of the PIHP. Meets community guide competencies specified by the PIHP

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agency

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service ▼

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

Service Title:

Specialized Consultation

HCBS Taxonomy:

Category 1:

Sub-Category 1:

▼

Category 2:

Sub-Category 2:

▼

Category 3:

Sub-Category 3:

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Category 4:

Sub-Category 4:

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Service Definition (Scope):

Specialized Consultation Services provide expertise, training and technical assistance in a specialty area (neuro/psychology, behavior intervention, speech therapy, therapeutic recreation, augmentative communication, assistive technology equipment, occupational therapy, physical therapy, nutrition, and other licensed professionals who possess experience with individuals with traumatic brain injury) to assist family members, support staff and other natural supports in assisting individuals with traumatic brain injury. Under this model, family members and other paid/unpaid caregivers are trained by a certified, licensed, and/or registered professional, or qualified assistive technology professional to carry out therapeutic interventions, consistent with the Individual Support Plan.

Activities covered are:

- Observing the individual to determine needs;
- Assessing any current interventions for effectiveness;
- Developing a written intervention plan, which may include recommendations for assistive technology/equipment, home modifications, and vehicle adaptations or therapeutic exercises / interventions / strategies. Intervention plan will clearly delineate the interventions, activities and expected outcomes to be carried out by family members, direct support professionals and natural supports;
- Developing a written intervention plan, which may include preventative strategies, behavioral interventions and strategies. Intervention plan will clearly delineate the interventions, activities and expected outcomes to be carried out by family members, direct support professionals and natural supports;
- Training and technical assistance of relevant persons to implement the specific interventions/support techniques delineated in the intervention plan;
- Observe, record data and monitor implementation of therapeutic interventions/support strategies;
- Reviewing documentation and evaluating the activities conducted by relevant persons as delineated in the intervention plan;
- Revision of the intervention plan as needed to assure progress toward achievement of outcomes
- Participating in team meetings; and/or
- Tele-consultation through use of two-way, real time-interactive audio and video to provide behavioral and psychological care when distance separates the care from the individual.

This service may be used for evaluations for adults when the State Plan limits have been exceeded.

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

This service may not duplicate services provided to family members through natural supports education, cognitive rehabilitation, extended state plan OT, PT, SLP, or crisis 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	Provider Agencies
Individual	Independent Practitioner

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Consultation

Provider Category:

Individual

Provider Type:

Provider Agencies

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

NC G.S.122C, as appropriate

- Staff must hold appropriate NC license for physical therapy, occupational therapy, speech therapy, psychology, behavioral analysis (licensure subject to psychology board implementation date) and nutrition; state certification for recreational therapy; board certified behavior analyst-MA; master's degree and expertise in augmentative communication; state certification in assistive technology
- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Qualified in the customized need of the beneficiaries as described in the Individual Support Plan

Verification of Provider Qualifications

Entity Responsible for Verification:

Provider Agencies

PIHP

Frequency of Verification:

Provider verifies employee qualifications at the time employee is hired

PIHP verifies credentials upon initial review and re-verifies agency credentials, including a sample of employee qualifications, at a frequency determined by the PIHP, no less than every three years

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Consultation

Provider Category:

Individual

Provider Type:

Independent Practitioner

Provider Qualifications

License (specify):

Licensure specific to discipline, if applicable

Certificate (specify):

Certification or registration specific to discipline, if applicable

Other Standard (specify):

- Staff must hold appropriate NC license for physical therapy, occupational therapy, speech therapy, psychology, behavioral analysis (licensure subject to psychology board implementation date) and nutrition; board certified behavior analyst-MA; master's degree and expertise in augmentative communication; state certification in assistive technology and state certification in recreation therapy
- Criminal background check presents no health or safety risk to beneficiary
- Not listed in the North Carolina Health Care Abuse Registry
- Qualified in the customized need of the beneficiaries as described in the Individual Support Plan

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

PIHP

Frequency of Verification:

At time of initial review 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:

Vehicle Modifications

HCBS Taxonomy:**Category 1:** **Sub-Category 1:****Category 2:** **Sub-Category 2:****Category 3:** **Sub-Category 3:****Category 4:** **Sub-Category 4:****Service Definition (Scope):**

Vehicle Modifications are devices, services or controls that enable individuals to increase their independence or physical safety by enabling their safe transport in and around the community. The installation, repair, maintenance, and training in the care and use of these items are included. The individual or his/her family must own the vehicle. The vehicle must be covered under an automobile insurance policy that provides coverage sufficient to replace the adaptation in the event of an accident. Modifications do not include the cost of the vehicle. There must be a written recommendation by an appropriate professional that the modification will meet the needs of the individual. The recommendation must contain information regarding the rationale for the selected modification. All items must meet applicable standards of manufacture, design, and installation. Installation must be performed by the adaptive equipment manufacturer's authorized dealer according to the manufacturer's installation instructions, National Mobility Equipment Dealer's Association, Society of Automotive Engineers, National Highway and/or Traffic Safety Administration guidelines. Evaluation by an adapted vehicle supplier with an emphasis on safety and "life expectancy" of the vehicle in relationship to the modifications.

Medical necessity must be documented by the physician, physician assistant, or nurse practitioner, for every item provided/billed regardless of any requirements for approval. A letter of medical necessity written and signed by the physician, physician assistant, or nurse practitioner, or other licensed

professional permitted to perform those tasks and responsibilities by their NC state licensing board, may be submitted along with the Certificate of Medical Necessity/Prescription. Note: the Certificate of Medical Necessity/Prescription still must be completed and signed by the physician, physician assistant, or nurse practitioner.

Repair of equipment is covered for items purchased through the waiver or purchased prior to waiver participation, as long as the item is identified within this service definition and the cost of the repair does not exceed the cost of purchasing a replacement piece of equipment.

Covered Modifications are:

1. Door handle replacements
2. Door modifications
3. Installation of raised roof or related alterations to existing raised roof system to approve head clearance
4. Lifting and/or lowering devices
5. Devices for securing wheelchairs or scooters
6. Adapted steering, acceleration, signaling, and breaking devices only when recommended by a physician and a certified driving evaluator for people with disabilities, and when training in the installed device is provided by certified personnel
7. Handrails and grab bars
8. Seating modifications
9. Lowering of the floor of the vehicle
10. Modifications for accessibility

Exclusions:

1. Vehicle Modifications are not available to individuals who receive Residential Supports or who live in licensed residential facilities.
2. The cost of renting/leasing a vehicle with adaptations; service and maintenance contracts and extended warranties; and adaptations purchased for exclusive use at the school/home school are not covered.
3. Items that are not of direct or remedial benefit to the individual are excluded from this service.

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

The service is limited to expenditures of \$20,000 over the duration of the waiver.

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

- Participant-directed as specified in Appendix E
- Provider managed

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

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Commercial/Retail Businesses
Individual	Specialized Vendors

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Vehicle Modifications

Provider Category:

Agency

Provider Type:

Commercial/Retail Businesses

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Meets applicable state and local requirements for type of device that the vendor is providing

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

Prior to first use

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Vehicle Modifications

Provider Category:

Individual

Provider Type:

Specialized Vendors

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Meets applicable state and local requirements for type of device that the vendor is providing

Verification of Provider Qualifications

Entity Responsible for Verification:

PIHP

Frequency of Verification:

Prior to first use

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:

Under the 1915(b)/1915(c) concurrent waivers, the PIHP conducts all case management functions compliant with managed care treatment planning requirements at 42 CFR 438.208(c).

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):

Section 1.13 of the contract, in accordance with 42 CFR § 455.106, requires the LME PIHP to require all providers to disclose any criminal convictions related to Medicare, Medicaid, or Title XX programs at the time they apply or renew their applications for Medicaid participation or at any time on request. The PIHP must report such disclosures to DMA within 20 working days from the date the PIHP receives such disclosures. Pursuant to 42 CFR § 455.106(b)(1), DMA will report such disclosures to HHS-OIG within 20 working days after notification by the LME-PIHP.

Criminal background checks must be conducted prior to hiring the employee in all situations described below. As provided by NC G.S. 122C-80, criminal background checks must be conducted on all prospective employees of licensed MH/DD/SAS provider agencies who may have direct access to individuals served. PIHP licensed contract agencies must comply with this law. This includes direct care positions, administrative positions and other support positions that have contact with individuals served. When prospective employees have lived in North Carolina for less than five consecutive years, a national criminal record check is obtained. When prospective employees have lived in the state for more than five years, only a state criminal record check is required.

As required by the North Carolina TBI Waiver service provider qualifications, unlicensed provider agencies who contract to provide North Carolina TBI Waiver services must also conduct criminal background checks on all prospective employees who may have direct access to individuals served. The PIHP conducts criminal background checks on independent practitioners. If the applicant has been a resident of this State for less than five years, then the offer of employment is conditioned on consent to a State and national criminal history record check of the applicant. If the applicant has been a resident of this State for five years or more, then the offer is conditioned on consent to a State criminal history record check of the applicant. National criminal record checks may be completed by private entities (defined as a business regularly engaged in conducting criminal history record checks utilizing public records obtained from a State agency in each of the States) while State criminal history record checks may be completed by a county that has adopted an appropriate local ordinance and has access to the Division of Criminal Information data bank. In addition, a State criminal history record check may be completed by a private entity (defined as a business regularly engaged in conducting criminal history record checks utilizing public records obtained from a State agency). A provider of unlicensed services shall not employ an applicant who refuses to consent to a criminal history record check required by this waiver.

The PIHP reviews the provider agency's criminal record check policy at the time of initial credentialing of the agency and re-verifies agency credentials, including a sample of criminal background checks, at a frequency determined by the PIHP, no less than every three years. Annually, the PIHP reviews employer of record personnel practices to ensure that there is documentation of the criminal background check for each employee hired.

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):

G.S. 131E-256, 10 A NCAC, requires the LME-PHIP to require providers to perform a Health Care Registry screen at the time that the apply or renew their applications for Medicaid participation or at any time on request. The LME-PIHP must report such disclosures to DMA within 20 working days from the date the PIHP receives such disclosures. DMA will report such disclosures to the HHS-OIG within 20 working days of notification by the PIHP.

Abuse registry screenings must be conducted prior to hiring the employee in all situations discussed below.

As provided by NC General Statute 131E-256, the DHHS Division of Health Service Regulation maintains an abuse registry, called the Health Care Personnel Registry. As required by NCGS 131-E-256, licensed agencies and unlicensed providers of community based services for persons with IDD who contract with the PIHP must conduct abuse registry screenings of prospective employees for positions who have direct access to individuals receiving services. Information from both the Nurse Aide Registry and the Health Care Personnel Registry is available to the general public and all health care providers via the Internet and through a 24 hour telephone voice response system through the Division of Health Service Regulation at <http://www.ncdhhs.gov/dhsr/hcpr/index.html>.

The PIHP reviews the provider agency's abuse registry screening policy at the time of initial credentialing and re-verifies agency credentials, including a sample of Abuse Registry screenings, at a frequency determined by the PIHP, no less than every three years. The PIHP reviews employer of record personnel practices annually to ensure that necessary screenings have been performed prior to employment.

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:*

- 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).**

i. Types of Facilities Subject to §1616(e). Complete the following table for each type of facility subject to §1616(e) of the Act:

Facility Type	
Supervised Living Facility, Type C	
Supervised living facilities type F serving adults with a developmental disability	

ii. Larger Facilities: In the case of residential facilities subject to §1616(e) that serve four or more individuals unrelated to the proprietor, describe how a home and community character is maintained in these settings.

HCBS must be met by all facilities providing Residential Supports per the States HCBS Transition Plan (pending CMS approval). They must be applied to all beneficiaries receiving Residential Supports except where such activities or abilities are contraindicated specifically in an individual's person centered plan and applicable due process has been executed to restrict any of the standards or rights. Residents must be

respectful to others in their community and the facility has the authority to restrict activities when those activities are disruptive or in violation of the rights of others living in the community.

Please see HCBS section for additional information.

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Supervised Living Facility, Type C

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Crisis Supports Services	<input type="checkbox"/>
Respite	<input type="checkbox"/>
Residential Supports	<input checked="" type="checkbox"/>
Specialized Consultation	<input type="checkbox"/>
Home Modifications	<input type="checkbox"/>
Extended State Plan service: OT, PT, SLP	<input type="checkbox"/>
Personal Care	<input type="checkbox"/>
Supported Employment	<input type="checkbox"/>
Community Networking	<input type="checkbox"/>
Natural Supports Education	<input type="checkbox"/>
Vehicle Modifications	<input type="checkbox"/>
Cognitive Rehabilitation (CR)	<input type="checkbox"/>
Adult Day Health	<input type="checkbox"/>
Day Supports	<input type="checkbox"/>
Life Skills Training	<input type="checkbox"/>
In Home Intensive Support	<input type="checkbox"/>
Community Transition	<input type="checkbox"/>
Resource Facilitation	<input type="checkbox"/>
Assistive Technology	<input type="checkbox"/>

Facility Capacity Limit:

All facilities cannot be licensed for more than 6 beds.

Scope of Facility Standards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input type="checkbox"/>

Standard	Topic Addressed
	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Supervised living facilities type F serving adults with a developmental disability

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Crisis Supports Services	<input type="checkbox"/>
Respite	<input type="checkbox"/>
Residential Supports	<input checked="" type="checkbox"/>
Specialized Consultation	<input type="checkbox"/>
Home Modifications	<input type="checkbox"/>
Extended State Plan service: OT, PT, SLP	<input type="checkbox"/>
Personal Care	<input type="checkbox"/>
Supported Employment	<input type="checkbox"/>
Community Networking	<input type="checkbox"/>
Natural Supports Education	<input type="checkbox"/>
Vehicle Modifications	<input type="checkbox"/>
Cognitive Rehabilitation (CR)	<input type="checkbox"/>
Adult Day Health	<input type="checkbox"/>
Day Supports	<input type="checkbox"/>
Life Skills Training	<input type="checkbox"/>
In Home Intensive Support	<input type="checkbox"/>
Community Transition	<input type="checkbox"/>
Resource Facilitation	<input type="checkbox"/>

Waiver Service	Provided in Facility
Assistive Technology	<input type="checkbox"/>

Facility Capacity Limit:

All facilities cannot be licensed for more than 6 beds.

Scope of Facility Standards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

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

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

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

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

similar services for which payment may be made to legally responsible individuals under the State policies specified here.

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

- The State does not make payment to relatives/legal guardians for furnishing waiver services.**
 The State makes payment to relatives/legal guardians under specific circumstances and only when the relative/guardian is qualified to furnish services.

Specify the specific circumstances under which payment is made, the types of relatives/legal guardians to whom payment may be made, and the services for which payment may be made. Specify the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 each waiver service for which payment may be made to relatives/legal guardians.*

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

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

- Other policy.**

Specify:

- 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:

Under its risk contract with DMA, the PIHP must establish policies and procedures to monitor the adequacy, accessibility and availability of its provider network to meet the needs of individuals served through the concurrent §1915(b)/ §1915(c) waivers. The PIHP must analyze its provider network and demonstrate an appropriate number, mix and geographic distribution of providers, including geographic access by beneficiaries to practitioners and facilities. The analysis is reviewed by DMA at the beginning of Application for 1915(c) HCBS Waiver: Draft NC.025.02.02 - Jan 01, 2016 Page 111 of 201 <https://wms-mmdl.cdsvdc.com/WMS/faces/protected/35/print/PrintSelector.jsp> 6/9/2015 each contract period; at any time there has been a significant change in PIHP operations that may affect the adequacy of capacity and services, including changes in services, benefits, geographic service areas or payments or enrollment of a new population in the concurrent waivers; and annually thereafter during the annual site visits by the Intradepartmental Monitoring Team (IMT). Whenever network gaps are noted, the PIHP submits to DMA a network development strategy or plan to fill the gaps, as well as periodically reports to DMA on the implementation plan or strategy.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

- a. **Methods for Discovery: Qualified Providers**

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Proportion of new licensed providers that meet licensure, certification, and/or other standards prior to their furnishing waiver services
Numerator: Number of new licensed providers reviewed who meet the requirements to furnish waiver services
Denominator: Total number of new licensed providers reviewed.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider applications and evidence of licensure/certification

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Proportion of providers reviewed according to PIHP monitoring schedule to determine continuing compliance with licensing, certification, contract and waiver standards
Numerator: Number of C waiver providers who had a review completed
Denominator: Total number of C waiver providers scheduled for a review

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider Monitoring Review Protocol and Tools

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other	

	Specify:	
	<input type="text"/> ^ v	

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/> ^ v

Performance Measure:

Proportion of providers for whom problems have been discovered and appropriate remediation has taken place
Numerator: Number of C waiver providers submitting an approved plan of correction (POC)
Denominator: Total number of C waiver providers from which a POC was requested

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

Profile Investigation Data

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> ^ v
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/> ^ v
		<input type="checkbox"/> Other

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

Data Aggregation and Analysis:

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

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

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

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

Performance Measure:

Proportion of monitored non-licensed, non-certified providers that successfully implemented an approved corrective action plan. Numerator: Number of monitored non-licensed, noncertified providers that successfully implemented an approved corrective action plan Denominator: Number of non-licensed, non-certified providers required to submit a corrective action plan

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider Monitoring Review Protocol and Tools

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

collection/generation <i>(check each that applies):</i>		
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

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

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

Performance Measure:

Proportion of monitored providers wherein all staff completed all mandated training, excluding restrictive interventions, within the required timeframe.

Numerator: Number of provider agencies monitored wherein all staff have completed all mandated training, excluding restrictive interventions, within the required timeframe
Denominator: Number of provider agencies monitored

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider Monitoring Protocol and Tools

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

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

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.

The PIHPs address and correct problems identified on a case by case basis and include the information in reports to DMA and the IMT. Issues with providers are often identified through consumer complaints/grievances which are reported to the DMA quarterly by the PIHPs. The PIHPs may require the provider to implement a corrective action plan. Depending on the seriousness of the provider issue and/or the results of the corrective action plan, the PIHP may terminate the provider from the network.

The state periodically reviews the accuracy of the PIHP reporting during the annual EQRO as well as the annual Mercer review.

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

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

c. Timelines

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

The following limits apply:

Nursing Facility Level of Care:

(1) Adult beneficiaries who receive residential supports: No more than 30 hours per week is authorized for any combination of community networking, adult day health, day supports and/or supported employment services.

Nursing Facility Level of Care:

(1) Adult beneficiaries who live in private homes: No more than 49 hours per week is authorized for any combination of community networking, adult day health, day supports, supported employment, personal care and/or Life Skills Training.

Specialty Hospital Level of Care:

(1) Adult beneficiaries who receive residential supports: No more than 40 hours per week is authorized for any combination of community networking, Adult Health, day supports and/or supported employment services.

(1) Adult participants who live in private homes: No more than 84 hours per week is authorized for any combination of for any combination of community networking, Adult Day Health, day supports, supported employment, personal care and/or Life Skills Training.

- Prospective Individual Budget Amount.** There is a limit on the maximum dollar amount of waiver services authorized for each specific participant.
Furnish the information specified above.

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

- Other Type of Limit.** The State employs another type of limit.
Describe the limit and furnish the information specified above.

Appendix C: Participant Services

C-5: Home and Community-Based Settings

Explain how residential and non-residential settings in this waiver comply with federal HCB Settings requirements at 42 CFR 441.301(c)(4)-(5) and associated CMS guidance. Include:

1. Description of the settings and how they meet federal HCB Settings requirements, at the time of submission and in the future.
2. Description of the means by which the state Medicaid agency ascertains that all waiver settings meet federal HCB Setting requirements, at the time of this submission and ongoing.

Note instructions at Module 1, Attachment #2, HCBS Settings Waiver Transition Plan for description of settings that do not meet requirements at the time of submission. Do not duplicate that information here.

Information on the States HCBS Plan can be found at <http://www.ncdhhs.gov/hcbs/index.html>
This plan has been submitted to CMS, but has not yet been approved.

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Individual Service Plan (ISP)

- 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:

"Qualified professional" means,

- (a) an individual who holds a license, provisional license, certificate, registration or permit issued by the governing board regulating a human service profession, except a registered nurse who is licensed to practice in the State of North Carolina by the North Carolina Board of Nursing who also has four years of full-time accumulated experience in mh/dd/sa with the population served; or
 (b) a graduate of a college or university with a Masters degree in a human service field and has one year of full-time, post-graduate degree accumulated mh/dd/sa experience with the population served, or a substance abuse professional who has one year of full-time, post-graduate degree accumulated supervised experience in alcoholism and drug abuse counseling; or

(c) a graduate of a college or university with a bachelor's degree in a human service field and has two years of full-time, post-bachelor's degree accumulated mh/dd/sa experience with the population served, or a substance abuse professional who has two years of full-time, post-bachelor's degree accumulated supervised experience in alcoholism and drug abuse counseling; or

(d) a graduate of a college or university with a bachelor's degree in a field other than human services and has four years of full-time, post-bachelor's degree accumulated mh/dd/sa experience with the population served, or a substance abuse professional who has four years of full-time, post-bachelor's degree accumulated supervised experience in alcoholism and drug abuse counseling.

Social Worker

Specify qualifications:

Other

Specify the individuals and their qualifications:

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (2 of 8)

b. Service Plan Development Safeguards. *Select one:*

- Entities and/or individuals that have responsibility for service plan development may not provide other direct waiver services to the participant.**
- Entities and/or individuals that have responsibility for service plan development may provide other direct waiver services to the participant.**

The State has established the following safeguards to ensure that service plan development is conducted in the best interests of the participant. *Specify:*

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (3 of 8)

c. Supporting the Participant in Service Plan Development. Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

(a) A variety of person centered tool kits are available to gather information and enable the beneficiaries to share information with the ISP team. The beneficiary can complete the toolkit with the assistance of the care coordinator or support providers as needed. Based on the unique needs of the beneficiary, a decision can be made to use one toolkit, multiple tool kits or none at all.

(b) The beneficiary and care coordinator review the team composition to make sure that people the beneficiary would like to have at the meeting are invited. If the beneficiary has a legally responsible person, the care coordinator will ensure that the person is invited to the ISP meeting as well.

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):

Individual Support Plan (ISP):

The timing of service plan is specific to the type of service plan (initial plan of care, annual updates, or revisions). The following outlines the type of service plan and the timelines associated with them:

Initial Plan of Care – Any person entering the NC TBI Waiver must have an initial level of care determination completed prior to the start of the care planning process. Once the level of care determination is complete, the service plan must be completed within 60 calendar days. Once the initial plan of care is complete, the beneficiaries annual plan due date is identified.

Annual Updates – Annual updates are due during the birth date month of the beneficiary. For example, the annual update for a beneficiary with a birth date of May 5th would be due during the month of May. The effective date of the annual update is always the first of the month following the birth month. In the example illustrated above, the beneficiary's annual plan would have an effective date of June 1st. Individual Support Plans may not extend beyond 365 days.

Revisions to the Individual Support Plan – Revisions are made to the Individual Support Plan whenever the beneficiary's life circumstances change. This may occur often or rarely, depending on the individual. This includes any change in the amount, duration or frequency of a service. A temporary, one time change in approved service does not require a plan revision. For example, if the beneficiary goes on vacation and needs to suspend Supported Employment services for two weeks, a revision is not needed. The beneficiary's planning team may use common sense and discretion in applying this exception, and an explanation of the change must be documented in the individual's record. Revisions are also made to the Individual Support Plan when the cost of a service changes.

The Individual Support Plan (ISP) is updated at least annually, and revisions are made as often as necessary to reflect changes in the beneficiary's life circumstances or service needs. Revisions may be made frequently or rarely, depending on the beneficiary and individual life circumstances. Examples of changes that may necessitate a revision include accomplishment of a goal, lack of progress on a goal, change in living arrangement, increased medical needs, change in employment status, change in educational status, increased or decreased supervision needs, behavioral changes, etc. Relevant assessments are also updated at this time, as appropriate. For example, if the beneficiary wants to change employment, a vocational assessment update may need to be completed.

Changes in short term goals and intervention strategies do not require an ISP update or revision.

Any member of the person centered planning team may suggest that the ISP be updated or revised. The Care Coordinator is responsible for monitoring the ISP, and reviews goals at a minimum frequency based on the target date assigned to each goal. Goals may be, and often are, reviewed more frequently based on the needs of the individual. The Care Coordinator also maintains close contact with the beneficiary, the legally responsible person or parent or guardian (if applicable), providers, and other members of the person centered planning team, noting any recommended revisions needed. This ensures that changes are noted and updates are effectuated in a timely manner.

Care Coordination:

Each NC TBI Waiver beneficiary is assigned a Care Coordinator at the PIHP. Care Coordinators are Qualified Professionals under the North Carolina credentialing system and are competent in the person centered planning process. The Care Coordinator is responsible for facilitating the person centered planning process and is responsible for the preparation of the Individual Support Plan. The Care Coordinator determines with the beneficiary and/or the legally responsible person the degree to which the beneficiary and/or legally responsible person desires to lead the planning team and to identify its membership. The beneficiary may choose additional members for the person centered planning team. The Care Coordinator assists the beneficiary in scheduling the meeting and inviting team members to the meeting at a time and location that is desired by the beneficiary. Each team member receives a written invitation to the meeting.

ISP Development -

The ISP is developed through a person centered planning process led by the beneficiary and/or legally responsible person for the beneficiary to the extent they desire. Person--centered planning is about supporting beneficiaries to realize their own vision for their lives. It is a process of building effective and collaborative partnerships with beneficiaries and working in partnership with them to create a road map for the ISP for reaching the beneficiary's goals.

The planning process is directed by the beneficiary and identifies strengths and capabilities, desires and support needs. A good ISP is a rich, meaningful tool for the beneficiary receiving supports, as well as those who provide the supports. It generates actions -- positive steps that the beneficiary can take towards realizing a better, more complete life. Good plans also ensure that supports are delivered in a consistent, respectful manner and offer valuable insight into how to access the quality of services being provided. The PIHP's ISP Manual provides detailed information about how ISPs are developed.

At the time the beneficiary enters the waiver, information is shared with the beneficiary regarding the NC TBI waiver. The beneficiary's care coordinator is available to answer any questions that the beneficiary/family may have regarding available services. The care coordinator works with the beneficiary/family to develop the ISP. That care coordinator determines with the beneficiary and/or legally responsible person to what degree they desire to lead the planning team and to identify the membership of the team. In addition to the beneficiary, parents, legal guardians, and care coordinator, additional planning team members may include: support providers, family friends, acquaintances and other community members.

The ISP is developed face to face with the waiver beneficiary and legally responsible person as clinically indicated. Face to face meetings are clinically indicated when the individual cannot participate fully in a planning meeting via teleconference due to hearing impairment or other communication challenges. Beneficiaries will continue to have the option for a face to face meeting versus a teleconference. Face to face meetings are clinically indicated when the individual cannot participate fully in a planning meeting via teleconference due to hearing impairment or other communication challenges. Beneficiaries will continue to have the option for a face to face meeting versus a teleconference.

The initial ISP, with an authorized signature(s), is completed and submitted to the PIHP for approval no later than 60 days from the approval of the NC TBI Waiver Level of Care tool. Annual plans, with an authorized signature(s), are developed to be effective the first day of the month following the beneficiary's birth month.

Assessments-

A variety of assessments are completed to support the planning process including:

Person Centered Information: This involves identifying what is most important to the beneficiary from their perspective and the perspective of others that care about the beneficiary. It involves identifying the beneficiary's strengths, preferences and needs through both informal and formal assessment process. A variety of person centered tool kits are available to assist in getting to know the beneficiary. These tool kits include worksheets, workbooks and exercises that can be completed by the beneficiary, with the assistance of the care coordinator or other support persons as needed.

NC TBI Waiver Risk/Support Needs Assessment: This assessment assists the beneficiary and the ISP team in identifying significant risks to the beneficiary's health, safety, financial security and the safety of others around them. In addition, this assessment identifies needed professional and material supports to ensure the beneficiary's health and safety. Risks identified in this assessment could bring great harm, result in hospitalization or result in incarceration if needed supports are not in place.

Information about Support Needs: This information assists in assuring that the beneficiary receives needed services, and at the same time, that beneficiaries do not receive services that are unnecessary, ineffective and/or do not effectively address the beneficiary's identified needs. This can include information from the health/support assessment and/or other formal assessment of the beneficiary's support needs.

Additional Formal Evaluations: These are evaluations by professionals and can include physical therapy, occupational therapy, speech therapy, vocational, behavioral, rehabilitative testing, physician recommendations, psychological testing, neuropsychological testing, adaptive behavior scales or other evaluations as needed.

Prior to the Person Centered Planning Meeting: The care coordinator offers the beneficiary/legally responsible person information about Individual Family Supports. If the beneficiary/legally responsible person is interested in learning more about individual/family directed supports, the care coordinator arranges for them to receive additional training and information. The care coordinator informs the beneficiary/legally responsible person of the beneficiary's individual budget amount and answers any questions regarding the budget. The care coordinator also provides the amount of the self-directed budget if the beneficiary/legally responsible person desires to self-direct one or more services.

The care coordinator supports the beneficiary to schedule the meeting and invite team members to the meeting at a time and location that is desirable for the beneficiary.

The Individual Support Planning Meeting:

The beneficiary and care coordinator review with the team all issues that were identified during the assessment processes. Information is presented in draft plan form. Information is organized in a way that allows the beneficiary to work with the team and have open discussion regarding issues to begin action planning. The planning meeting also includes a discussion about monitoring the beneficiary's services, supports and health/safety issues. During the planning meeting decisions are made regarding team members responsibilities for service implementation and monitoring. While the care coordinator is responsible for overall monitoring of the ISP and the beneficiary's situation, other team members, including the beneficiary and community supports, may be assigned monitoring responsibilities.

Individual Support Plan Development:

A written ISP will be developed with each beneficiary utilizing a person centered planning process that reflects the needs and preferences of the beneficiary. Person centered planning is a means for people with TBI to exercise choice and responsibility in the development and implementation of their support plan. A good ISP generates actions, positive steps that the person can take towards realizing a better and more complete life. Good plans also ensure that supports are delivered in a consistent, respectful manner and offer valuable insight into how to assess the quality of services being provided. Plans draw upon diverse resources, mixing paid, natural and other non-paid supports, to best meet the goals set. Individual support planning is defined as a process, directed by the planning team. The individual support planning process is developed for beneficiaries with long-term services and supports, intended to identify the strengths, capacities, preferences, needs and desired outcomes of the beneficiary. The process includes people, freely chosen by the adult beneficiary, who are able to serve as important contributors. The person centered planning process enables and assists the beneficiary to identify and access a personalized mix of non-paid and paid services that will assist him/her to achieve personally defined outcomes in the most inclusive community setting. The beneficiary identifies planning goals to achieve these personal outcomes in collaboration with those that the beneficiary has identified, including medical and professional staff. The identified personally defined outcomes and training, supports, therapies, treatments and other services the beneficiary is to receive to achieve those outcomes become a part of the ISP.

The ISP is updated annually, however if the beneficiary's provider changes or needs change and requires services to be added, increased, decreased or terminated, a revision to the plan shall be completed and submitted to the PIHP utilization management for approval. The care coordinator reassesses each beneficiary's needs at least annually and develops an updated PCP/ISP continued need review (CNR), based on that reassessment. The care coordinator will follow-up and resolve any issues related to the beneficiary's health, safety or service delivery. Unresolved issues will be brought to the attention of the PIHP and provider agency by the care coordinator to resolve these issues.

The care coordinator will provide information to waiver beneficiaries about their rights, protections and responsibilities, including the right to change providers. In the event the ISP developed results in denial of services, the care coordinator will inform the beneficiary of the right to request a fair hearing. The care coordinator will assist the beneficiary and the family through the Fair Hearing process. The care coordinator will inform the beneficiaries of grievance and complaint resolution processes. This information will be provided on an annual basis during the annual ISP process.

Also as part of the annual review, the care coordinator, in consultation with the beneficiary and the team, will identify the Most Integrated Setting appropriate in which to provide the individual for supports and services. If the Most Integrated Setting is not available, the care coordinator will document in the individual's file the supports and services needed to achieve the Most Integrated Setting, as well as the obstacles and barriers in achieving the Most Integrated Setting.

The ISP will describe the services and supports (regardless of funding source) to be furnished, their projected frequency, and type of provider who will furnish each service or support. A Crisis Prevention Plan is incorporated within the ISP. The Crisis Prevention Plan includes supports/interventions aimed at preventing a crisis (proactive) and supports and interventions to employ if there is a crisis (reactive). A proactive plan aims to prevent crises from occurring by identifying health and safety risks and strategies to address them. A reactive plan aims to avoid diminished quality of life when crises occur by having a plan in place to respond. The planning team are to consider what the crisis may look like should it occur, to whom it will be considered a "crisis", and how to stay calm and to lend that strength to others in handling the situation capably. The Crisis Prevention Plan should include what positive skills the beneficiary has which can be elicited and increased at times of crisis; how to implement redirection of energies towards exercising these skills that can prevent crisis escalation; how to implement positive behavioral supports that may be relied upon as a crisis response. The Crisis Prevention Plan is an active and living document that is to be used in the event of a crisis. After crisis, the beneficiary and staff should meet to discuss how well the plan worked and make changes as indicated.

The ISP also includes other formal and informal services and supports that the beneficiary wants and/or needs. The ISP

provides for supports and coordination for the beneficiary to access educational services, generic community resources and Medicaid state plan services. The care coordinator makes sure that the ISP contains a plan for coordinating services, including the care coordinator's responsibility for overall plan coordination of waiver and other services.

The service plan is subject to at least annual periodic review and update to assess the appropriateness and adequacy of the services as beneficiary needs change. Care coordinators will work with beneficiaries to identify potential sources of services and support; paid and non paid natural supports within their catchment areas. Also, the PIHP will ensure that beneficiaries eligible for Medicaid will have freedom of choice of qualified providers. The process for review and approval/authorization of beneficiary ISPs is a primary function of the PIHP. All initial/annual/plan updates require an authorized signature(s) and will be signed by relevant providers.

Plan Approval:

The ISP approval process by the PIHP verifies that there is a proper match between the beneficiary's needs and the service provided. Once the ISP is approved and services are authorized, the care coordinator notifies the beneficiary/legally responsible person of the approval, the services that will be provided and the start date of services. The beneficiary/legally responsible person is given a copy of the approved ISP and individual budget, including crisis plan as applicable.

The care coordinators developing the plan are employees of the PIHP in a separate unit from the individuals authorizing the plan. The care coordinator may not exercise prior authorization authority over the individual support plan. The PIHP will not approve an ISP that exceeds the limitations in any individual service definition, for the sets of services found at C-4.

Updates/Changes to the ISP:

The care coordinator works with the beneficiary and the team to ensure that the ISP is updated with current and relevant information. Timely updates to the ISP help maintain the integrity of the plan by ensuring those changes are communicated and documented consistently. The ISP is updated/revised by adding a new demographic page and/or using the update to ISP. When the update to the ISP involves a change in the budget, the individual budget page is also updated. Examples of updates/revisions include adding an outcome, addressing needs related to the back-up staffing plan and adding new information when the beneficiary's needs change.

Implementation: The responsibility for implement the Individual Service Plan (ISP) is shared among all members of the person centered planning team. The beneficiary directs the planning process to the extent he/she desires, and works to reach the goals identified in the ISP. Service providers are responsible for developing intervention strategies and monitoring progress at the service delivery level. The service provider ensures that staff are appropriately qualified and trained to deliver the interventions necessary to support the accomplishment of goals. The provider is also responsible for clinical supervision of staff. Other team members are responsible to the extent identified in the ISP. The Care Coordinator is ultimately responsible for monitoring and overseeing the implementation of the ISP. The Care Coordinator monitors the provision of services through observation of service provision, review of documentation and verbal reports. The Care Coordinator maintains close contact with members of the person centered planning team to ensure that the ISP is implemented as intended.

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 NC TBI Waiver Risk/ Support Needs Assessment is completed prior to the development of the ISP and updated as significant changes occur with the beneficiary at least annually. The care coordinator works with the beneficiary, family and other team members to complete the assessment.

1. The NC TBI Risk/Support needs assessment includes: health and wellness screening to include the primary care physician to act as the locus of coordination for all health care issues, medication management, nutrition, preventive screenings, as appropriate, and any relevant information obtained from other supports needs assessments.
2. Risk screening to include behavioral supports, potential mental health issues, personal safety and environmental community risk issues. Support needs and potential risks that are identified during the assessment process are addressed

in the ISP, which includes a crisis plan as applicable. Strategies to mitigate the risk reflect beneficiary needs and include consideration of the beneficiary preferences. Strategies to mitigate risk may include the use of risk agreements. The ISP states how risks will be monitored and by whom, including the paid providers, natural and community supports, beneficiaries and their family and the care coordinator.

A backup staffing plan is included in the ISP and designed to meet the needs of beneficiaries to make sure that their health and safety is ensured. It outlines who (whether natural or paid) is available, contact numbers, at least two levels of backup staffing are identified for each waiver service provided.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (6 of 8)

- f. Informed Choice of Providers.** Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

The care coordinator, following the PIHP policy, assists the beneficiary/legally responsible person in choosing a qualified provider to implement each service in the ISP. The care coordinator meets with the beneficiary/legally responsible person and provides them with a provider listing of each qualified provider within the PIHP provider network and encourages the individual/legally responsible person to select providers that they would like to meet to obtain further information. The care coordinator provides any additional information that may be helpful in assisting them to choose a provider. Arranging provider interviews is facilitated by the care coordinator on behalf of the beneficiary. Once the beneficiary has selected a provider, their choice of provider is documented in the service record.

Appendix D: Participant-Centered Planning and Service Delivery

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

- g. Process for Making Service Plan Subject to the Approval of the Medicaid Agency.** Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR §441.301(b)(1)(i):

The PIHP approves ISPs following a process approved by the DMA, the State Medicaid agency. The care coordinators developing the plan are employed by the PIHP in a separate unit from the individuals authorizing the plan. ISP approval occurs locally at the PIHP. DMA authorizes the PIHP to approve ISPs through routine monitoring of the plan of care approval process. DMA may revoke approval authority if it determines that the PIHP is not in compliance with the waiver requirements. In the case of a revocation, the plan of care approval would be carried out by DMA or DMA designee.

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:*

PIHP

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.

The PIHP care coordinator is responsible for monitoring the implementation of the ISP. Services are implemented within 45 days of ISP approval. The care coordinator is responsible for the monitoring of activities. Monitoring will take place in all service settings and on a schedule outlined in the ISP.

Monitoring methods also include contacts (face-to-face and telephone calls) with other members of the ISP team and review of service documentation. A standard monitoring checklist is used to ensure that the following issues are monitored:

- (1) Verification that services are provided as outlined in the ISP
- (2) Beneficiaries have access to services and identification of any problems that may arise
- (3) The services meet the needs of the beneficiaries, that the back-up staffing plans are documented
- (4) Issues of health and welfare (rights restrictions, medical care, abuse/neglect/exploitation, behavior support plan) are addressed and that beneficiaries are offered a free choice of providers and that non-waiver services needs have been addressed

Care coordinator monitoring occurs monthly to include the following:

- (1) Beneficiaries that are new to the waiver receive face-to-face visits for the first six months and then on a schedule agreed to by the ISP team thereafter, no less than quarterly, to meet their health and safety needs.
- (2) Beneficiaries who live in residential programs receive face-to-face monitoring visits monthly.
- (3) For months that beneficiaries do not receive face-to-face monitoring, the care coordinator has telephone contact to ensure that there are no issues that need to be addressed.
- (4) At least one service is utilized monthly, per waiver eligibility requirements.
- (7) That services utilized do not exceed authorization. If there is an emergency, the care coordinator should ensure that the enrollee's needs are met and ensure that any updates to the LOC and ISP, based upon the changes in needs of the individual, are processed in a timely manner.

- 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:*

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Proportion of Individual Support Plans in which the services and supports reflect beneficiary assessed needs and life goals
Numerator: Number of Individual Support Plans for C waiver beneficiaries in which services and supports reflect beneficiary assessed needs and goals
Denominator: Total number of Individual Support Plans for C waiver beneficiaries"

Data Source (Select one):

Other

If 'Other' is selected, specify:

Signed individual support plan

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Proportion of Individual Support Plans that address identified health and safety risk factors
Numerator: Number of Individual Support Plans for C waiver beneficiaries that address strategies to address health and safety risks
Denominator: Total number of Individual Support Plans for C waiver beneficiaries

Data Source (Select one):

Other

If 'Other' is selected, specify:

Signed individual support plan

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify:	

	Semi-annually	
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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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Semi-annually

Performance Measure:

Percentage of participants reporting that their Individual Support Plan has the services that they need
Numerator: Number of C Waiver beneficiaries who indicate that the ISP contains the services and supports they need
Denominator: Total number of Individual Support Plans for C Waiver beneficiaries

Data Source (Select one):

Other

If 'Other' is selected, specify:

Signed individual support plan

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>

	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>
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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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

- b. *Sub-assurance: The State monitors service plan development in accordance with its policies and procedures.*

Performance Measures

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

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

Performance Measure:

Proportion of person centered plans that are completed in accordance with the State Medicaid Agency's requirements
Numerator: Total number of reviewed person centered plans that are in accordance with the SMA's requirements
Denominator: Total number of person centered plans 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	

		<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = Confidence Interval = 95%
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

c. **Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participant’s needs.**

Performance Measures

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

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

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

Performance Measure:

Proportion of individuals for whom an annual plan and/or needed update took place

Numerator: Number of waiver beneficiaries for whom all annual Individual Support Plans and needed updates took place
Denominator: Total number of waiver beneficiaries requiring an annual ISP or update.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Case Record Review Spreadsheets

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Semi-annually	

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually

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

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

Performance Measures

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

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

Performance Measure:

Proportion of new waiver beneficiaries receiving services according to their ISP within 45 days of ISP approval
Numerator: # of new C waiver beneficiaries who get services within 45 days of approval of the ISP
Denominator: Total # of initial ISP's for new C waiver participation

Data Source (Select one):

Other

If 'Other' is selected, specify:

Date of plan approval and service date on first claim

Responsible Party for data collection/generation (<i>check each that applies</i>):	Frequency of data collection/generation (<i>check each that applies</i>):	Sampling Approach (<i>check each that applies</i>):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>

	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>
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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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

Performance Measure:

Proportion of beneficiaries who are receiving services in the type, scope, amount, and frequency as specified in the Individual Support Plan Numerator: Number of C waiver beneficiaries reviewed who received services in the type, scope and frequency listed in the ISP Denominator: Total number of C waiver beneficiaries reviewed

Data Source (Select one):

Other

If 'Other' is selected, specify:

Case Record Review Spreadsheets

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input style="width: 100%; height: 20px;" type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input style="width: 100%; height: 20px;" type="text"/>

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

Data Aggregation and Analysis:

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

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

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

Performance Measure:

Proportion of beneficiaries reporting their Care Coordinator helps them to know what waiver services are available
Numerator: Number of Individual Support Plans for C waiver beneficiaries that indicate the Care Coordinator helps the beneficiary know what services are available
Denominator: Total number of Individual Support Plans for C waiver beneficiaries

Data Source (Select one):

Other

If 'Other' is selected, specify:

Individual service plans/Client Records- Initial Freedom of Choice in the Client record

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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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Proportion of beneficiaries reporting they have a choice between providers
Numerator: Number of Individual Support Plans for C waiver beneficiaries that indicate the beneficiaries were given a choice of providers
Denominator: Total number of Individual Support Plans for C waiver beneficiaries Annually

Data Source (Select one):

Other

If 'Other' is selected, specify:

Signature on individual support plans

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Proportion of records that contain a signed freedom of choice statement Numerator:
Total number of Individual Support Plans for C waiver beneficiaries where freedom of choice statement is signed
Denominator: Total number of Individual Support Plans for C waiver beneficiaries Annually.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Individual service plans/Client Records- Initial Freedom of Choice in the Client record

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible. The PIHP reviews service plan development via care coordination and in Utilization Management (UM). Utilization Management ensures that all service plan elements are present. During the annual Mercer review, which consists of Mercer as well as DMA and DMH staff, state Subject Matter Experts in TBI services utilize a standard review tool to review the PIHP’s monitoring process to ensure that the PIHP is indeed monitoring service plan development. A sample of plans is reviewed at this time.

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.

The PIHPs will address and correct problems identified on a case-by-case basis and include the information in reports to DMA and the Intra-departmental Monitoring Team. DMA may require a corrective action plan if the problems identified appear to require a change in the PIHP’s processes for developing, implementing and monitoring service plans. DMA

monitors the corrective action plan with the assistance of the Intra-Departmental Monitoring Team.

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

c. Timelines

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

- No**
- Yes**

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

Appendix E: Participant Direction of Services

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

- Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.
- No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the Appendix.

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

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

- Yes. The State requests that this waiver be considered for Independence Plus designation.**
- No. Independence Plus designation is not requested.**

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (12 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant Direction (1 of 6)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (2 of 6)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (3 of 6)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (4 of 6)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (5 of 6)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (6 of 6)

Answers provided in Appendix E-0 indicate that you do not need to submit Appendix E.

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

The State provides an opportunity to request a Fair Hearing under 42 CFR Part 431, Subpart E to individuals: (a) who are not given the choice of home and community-based services as an alternative to the institutional care specified in Item 1-F of the request; (b) are denied the service(s) of their choice or the provider(s) of their choice; or, (c) whose services are denied, suspended, reduced or terminated. The State provides notice of action as required in 42 CFR §431.210.

Procedures for Offering Opportunity to Request a Fair Hearing. Describe how the individual (or his/her legal representative) is informed of the opportunity to request a fair hearing under 42 CFR Part 431, Subpart E. Specify the notice(s) that are used to offer individuals the opportunity to request a Fair Hearing. State laws, regulations, policies and notices referenced in the description are available to CMS upon request through the operating or Medicaid agency.

The NC TBI waiver operates concurrently with a 1915(b) waiver through prepaid inpatient health plans (PIHP). All waiver applicants/beneficiaries are notified of their right to request a fair hearing by the PIHP in accordance with 42 CFR 431 Subpart E and 42 CFR 438 Subpart F. Beneficiaries are required to access the PIHP's internal appeal process before requesting a hearing with the State, as required under the concurrent 1915(b) waiver, NC Mental Health, Developmental Disabilities and Substance Abuse Services Health Plan.

Upon enrollment in the PIHP, the PIHP sends each enrollee a brochure explaining Medicaid appeal rights. For beneficiaries with limited literacy, the care coordinator verbally explains their appeal rights. When applicants/beneficiaries are denied participation in the waiver or specific waiver services are denied, terminated, suspended or reduced, the PIHP sends a written notice to the individual explaining the reason for the adverse action, instructions on how to access a fair hearing, the time frame for making the request, information on continuation of services during the appeal process (if applicable) and contact information for questions and concerns. The notice also contains information on the state level hearing processes and toll free numbers for the Medicaid agency and for requesting free legal assistance. Notices of termination, suspension or reduction are mailed to the beneficiary a minimum of 10 days before the service is actually reduced, terminated or suspended.

As stated above, applicants/beneficiaries must avail themselves of the appeal process offered by the PIHP before accessing the state fair hearing process. This requirement can be found in the concurrent 1915(b) waiver (#NC 02.RO3), section A, Part IV-E, "Grievance System". If the applicant/beneficiary requests a hearing, the PIHP gathers information on the case and schedules the appeal with an independent reviewer who had no prior involvement in making the adverse decision. The PIHP sends a written notice of the reconsideration decision to the individual, along with detailed instructions on requesting a hearing with the State which are conducted by the NC Office of Administrative Hearings.

When the suspension, reduction or termination of service is appealed, beneficiaries may continue to receive services up through the final decision by the Office of Administrative Hearings (OAH) as long as they meet the appeal deadlines, the original period covered by the authorization has not expired and the beneficiary requests continuation of the service. When the LME/MCO makes a denial based on Level of Care, appeal rights are preserved.

Copies of all notices and documentation of decisions are maintained by the agency from which they originate. The PIHP maintains records on the local appeal and the OAH maintains records on the formal hearing. Appeal decisions are loaded into the PCG system and monitored monthly by DMA.

Appendix F: Participant-Rights

Appendix F-2: Additional Dispute Resolution Process

- a. Availability of Additional Dispute Resolution Process.** Indicate whether the State operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*
- No. This Appendix does not apply**
- Yes. The State operates an additional dispute resolution process**
- b. Description of Additional Dispute Resolution Process.** Describe the additional dispute resolution process, including: (a) the State agency that operates the process; (b) the nature of the process (i.e., procedures and timeframes), including the types of disputes addressed through the process; and, (c) how the right to a Medicaid Fair Hearing is preserved when a participant elects to make use of the process: State laws, regulations, and policies referenced in the description are available to CMS upon request through the operating or Medicaid agency.

The PIHP has an internal dispute resolution system as required by 42 CFR 438 Subpart F. The internal system encompasses both an appeal process, as described in Appendix F-1, for addressing an “action” and a grievance process for addressing grievances (complaints). “Actions” include the denial or limited authorization of a requested service, reduction, suspension or termination of a previously authorized service, denial of payment for a service, failure to provide services in a timely manner as specified in the risk contract and failure to take action within the timeframes specified in the contract for resolving grievances and appeals.

A grievance (complaint) is an enrollee’s expression of dissatisfaction with any aspect of their care other than the appeal of an action. Possible subjects for grievances include, but are not limited to, the quality of care or services provided and aspects of interpersonal relationships such as rudeness of a provider or employee or failure to respect the enrollee’s rights.

The requirements for the PIHP’s internal appeal and grievance processes are outlined in the contract between the State and PIHP. The requirements cover the types of information that the PIHP must provide to enrollees about grievances and appeals, provision of assistance to enrollees in completing necessary forms, reporting and record keeping, content of notices, expedited authorization decisions, continuation of benefits during appeals and time frames for addressing grievances and appeals.

The PIHP provides quarterly reports to the State Medicaid Agency on the types, number and resolution status of grievances and appeals. Tracking and analysis of grievances and appeals are to be used for internal quality improvement.

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:
- DMH/DD/SAS
- 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 North Carolina Administrative Code (NCAC) at 10A NCAC 27G.0609 requires local management entities (operating as PIHPs for waiver purposes) to report to the DHHS Division of MH/DD/SAS all complaints (grievances under 42 CFR 438 Subpart F) made to the PIHP not less than quarterly. The submission of the PIHP complaint report is

included in the contract between the PIHP and the Division of MH/DD/SAS. Four documents provide procedures and instructions relative to the complaint process:

1. Guidelines for the complaint reporting system
2. Customer service collection forms
3. Quarterly complaint report
4. Complaint reporting instructions

A copy of the quarterly complaint report is shared with the PIHP Client Rights Committee and the PIHP Consumer and Family Advisory Committee in order to develop strategies for system improvement.

Guidelines require the documentation of any concern, complaint, compliment, investigation and request for information involving any person requesting or receiving publicly-funded mental health, developmental disabilities and/or substance abuse services, local management entity or MH/DD/SAS service provider.

Complaint Reporting Categories include:

- (1) Abuse, neglect and exploitation
- (2) Access to services
- (3) Administrative issues
- (4) Authorization/payment/billing
- (5) Basic needs
- (6) Client rights
- (7) Confidentiality/HIPAA
- (8) PIHP services
- (9) Medication
- (10) Provider choice
- (11) Quality of care
- (12) Service coordination between providers
- (13) Other to include any complaint that does not fit the previous areas.

Information is recorded on the customer service form and recorded in the PIHP complaint database for analysis. Action taken by the PIHP is recorded to include a summary of all issues, investigations and actions taken and the final disposition resolution. Guidelines define the resolution for types of complaints that may be made. The total number of calendar and working days from receipt to completion are also recorded.

If the complainant is not satisfied with the initial resolution, the individual may request to appeal the decision.

The quarterly complaint reporting form includes the aggregate information on complaints to include:

- (1) The total number of complaints received by the customer service office
- (2) The total number of persons (by category) who are reporting complaints
- (3) The total number of consumers by age group
- (4) The total number of consumers by disability group (if applicable) involved in the complaint
- (5) The primary nature of the complaints/concerns (by category)
- (6) A summary of data analyses to identify patterns, strategies developed to address problems and actions taken
- (7) An evaluation of results of actions taken and recommendations for next steps.

As stated in Appendix F-2 above, grievances (complaints) are also reported to the state Medicaid agency on a quarterly basis as required by the risk contract between the DHHS Division of Medical Assistance and the PIHP. The Division of Medical Assistance and the DMH/DD/SAS have developed a joint reporting form to increase consistency of processes to the extent possible.

The grievance process is conducted by the PIHP and is an expression of dissatisfaction by the enrollee about things that are not "actions." Actions refers to denial of a service request; limited authorization of a service request; reduction, suspension, or termination of a previously authorized service; denial of payment for a service; failure to authorize or deny a service request in a timely manner; or failure to resolve a grievance (i.e., within 90 calendar days). The grievance process is separate from the reconsideration/state fair hearing process. Enrollees do not have to file a grievance before requesting reconsideration of an action.

The appeal process (called "reconsideration" in North Carolina) is conducted by the PIHP. Appeal refers to a request for review of an action (please refer to the definition in the previous section of what constitutes "actions"). Appeals can be filed in writing or orally by the enrollee or provider (with written consent). The enrollee has 30 days to request an appeal of the PIHP action. If the request is made orally, the enrollee must submit a written request within 30 days of the date of

the adverse notice. Individuals making decisions on appeals cannot have been involved in any previous level of review or decision-making. The enrollee must be allowed a reasonable opportunity to present evidence and allegations of fact or law and must be allowed to examine his/her medical records and the documents considered during the appeal. For standard resolution of an appeal and notice to affected parties, the State must establish a timeframe that is no longer than 45 days from the day the PIHP receives the appeal. For expedited resolution of an appeal and notice to affected parties, the State must establish a timeframe that is no longer than 3 working days after the PIHP receives the appeal. Timeframes to decide both grievances and appeals (both standard and expedited) may be extended up to fourteen (14) calendar days if additional information is required.

In North Carolina, enrollees must exhaust the PIHP Appeal Process (“Reconsideration”) before accessing the State Fair Hearing (referred to as an “Appeal”). Medicaid State Fair Hearings are governed by 42 Code of Federal Regulation (CFR) Part 431 and utilize the Administrative Hearings procedure. These hearings apply to an appeal (“reconsideration”) not decided wholly in favor of the enrollee. The PIHP is a party to the State Fair Hearing and the process is controlled by state law and rules. The enrollee has 30 days to request a State Fair Hearing from the date of the appeal (“reconsideration”) decision. After 30 days, the PIHP appeal (“reconsideration”) decision becomes final.

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

- a. Critical Event or Incident Reporting and Management Process.** Indicate whether the State operates Critical Event or Incident Reporting and Management Process that enables the State to collect information on sentinel events occurring in the waiver program. *Select one:*

Yes. The State operates a Critical Event or Incident Reporting and Management Process (*complete Items b through e*)

No. This Appendix does not apply (*do not complete Items b through e*)

If the State does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the State uses to elicit information on the health and welfare of individuals served through the program.

- b. State Critical Event or Incident Reporting Requirements.** Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the State requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

The DHHS Incident and Death Response System Guidelines describes who must report the documentation required, what/when/where reports must be filed and the levels of incidents, including responses to each level of incidents. Critical incident reporting requirements are outlined in North Carolina Administrative Code at 10A NCAC 27 G.0600. Providers of publicly funded services licensed under North Carolina General Statute 122C, with the exception of hospitals, and providers of publicly funded nonlicensed periodic or community based mental health, developmental disability or substance abuse services are required to report critical events or incidents involving consumers receiving mental health, developmental disability or substance abuse services. Critical incidents are defined as any happenings which are not consistent with routine operation of a facility, or service, in

the routine care of consumers and that is likely to lead to adverse effects upon the consumer. Any incidents containing allegations or substantiations of abuse, neglect or exploitation must be immediately reported to the local Department of Social Services responsible for investigation of abuse, neglect or exploitation allegations. Other reports may be required by law, such as reports to law enforcement. Facts regarding the incident should be reported objectively, in writing, without unsubstantiated conclusions, opinions or accusations. Incident reports are maintained in administrative files; however, incidents that have an effect on the beneficiary must be recorded in the progress note of the beneficiary record, as would any other consumer care information. Incident reports, including follow-up action requirements, are defined as one of three levels.

Level I incidents are defined as any incident that does not meet the requirements to be classified as a Level II or Level III incident. Examples of Level I incidents include, but are not limited to: beneficiary injury that does not require treatment by a licensed health care professional, and HIPAA/confidentiality violations. Level I incident reports are reviewed by the employee’s supervisor, and are submitted to a designated person, per agency policy, and maintained in the administrative files of the employer of record. Level 1 reports are maintained by the provider agency and reviewed

by the PIHP during routine monitoring.

Level II Incidents include any incident that involves a threat to a beneficiary's health or safety or a threat to the health and safety of others due to beneficiary behavior. Level II incidents are reported immediately to the employee's supervisor. A written report is prepared that is submitted to and reviewed by the employee's supervisor. The written report is forwarded to the PIHP within 72 hours of the incident's occurrence.

Level III Incidents include any incident that results in a death or permanent physical or psychological impairment to a beneficiary, a death or permanent physical or psychological impairment caused by a consumer or a threat to public safety caused by a consumer. Level III incidents are reported immediately to the employee's supervisor.

The supervisor immediately notifies the PIHP, who notifies DMH/DD/SAS. The PIHP coordinates all activities required by state standards related to Level III incidents within 24 hours of being informed of the Level III incident. A written report is prepared that is submitted to and reviewed by the employee's supervisor. The written report is forwarded to the PIHP within 72 hours of the incident's occurrence. All providers and Employers of Record are required to conduct a peer review of Level III incidents, beginning within 24 hours of the incident.

- c. Participant Training and Education.** Describe how training and/or information is provided to participants (and/or families or legal representatives, as appropriate) concerning protections from abuse, neglect, and exploitation, including how participants (and/or families or legal representatives, as appropriate) can notify appropriate authorities or entities when the participant may have experienced abuse, neglect or exploitation.

At the time of enrollment in the PIHP, beneficiaries are provided a beneficiary and family member handbook that outlines their rights, protections and the advocacy agencies who can educate and assist in the event of a concern. The care coordinator discusses the rights and protections, inclusive of agencies, to contact with the beneficiary/legally responsible person as a component of the admissions process to the NC TBI waiver. Opportunities for information training occur during routine monitoring. Providers within the PIHP network are required to inform the beneficiary of rights and protections through individual agency procedure. When a beneficiary elects the individual/family directed supports option, employers, managing employers, representatives and/or managing employers receive the employer handbook that details their rights, protections and agencies available to assist them in a self-directed services model.

The PIHP and the NC DHHS operate toll-free care lines where beneficiaries can receive additional information or assistance, if needed. These lines have the capacity to assist beneficiaries that are primarily Spanish speaking and/or hearing impaired.

- 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.

Incident reporting requirements and responses are based on state laws and regulations for each of the three levels of incidents.

Level 1 Incidents are maintained by the provider agency. Each provider agency is required to maintain copies of these reports for review by the PIHP during routine monitoring. Written reports of Level II incidents are forwarded to the PIHP within 72 hours of the incident's occurrence. The provider agency is responsible for attending to the health and safety of involved parties as well as analyzing causes, correcting problems and review in quality improvement process to prevent similar incidents. Level II incidents may signal a need for the PIHP to review the provider's clinical care and practices and the PIHP's management processes, including service coordination, service oversight and technical assistance for providers. These incidents require communication between the provider and the PIHP, documentation of the incident and report to the PIHP and other authorities as required by law. The PIHP is responsible for reviewing provider handling of the incident and ensuring consumer safety.

Level III Incidents are immediately reported to the PIHP who notifies DMH/DD/SAS. The PIHP coordinates all activities required by state standards related to Level III incidents within 24 hours of being informed of the Level III incident. A written report is prepared and reviewed by the agency or employer submitting the incident. The written report is forwarded to the PIHP within 72 hours of the incident's occurrence. Providers attend to the health and safety needs of involved parties, and conduct a peer review of Level III incidents beginning within 24 hours of the incident. The internal review:

- (1) Ensures the safety of all concerned
- (2) Takes action to prevent a re-occurrence of the incident
- (3) Creates and secures a certified copy of the consumer record

- (4) Ensures that necessary authorities and persons are notified within allowed time frames
- (5) Conducts a root cause analysis once all needed information is received.

Level III incidents signal a need for DHHS, including DMH/DD/SAS and the PIHP, to review the local and state service provision and management system, including coordination, technical assistance and oversight. These incidents require communication among the provider, the PIHP and DHHS, documentation of the incident, and report to the PIHP, DHHS and other authorities as required by law.

The PIHP reviews provider handling of the Level III incident:

- (1) To ensure that beneficiaries are safe
- (2) A certified copy of the beneficiary record is secured
- (3) A review committee meeting is convened
- (4) Appropriate agencies are informed

DMH/DD/SAS reviews the PIHP oversight of providers and follows up, as warranted, to ensure problems are corrected. The PIHP also analyzes and responds to patterns of incidents as part of quality improvement and monitoring processes. DMH/DD/SAS analyzes and responds to statewide patterns of incidents as part of quality improvement and monitoring. DMH/DD/SAS includes information about deaths in their annual Legislative Report.

Other agency responsibilities for follow-up of incidents are:

- (1) Local law enforcement agencies investigate legal infractions and take appropriate actions
- (2) Local Department of Social Services investigates abuse, neglect or exploitation allegations and takes appropriate actions
- (3) The Health Service Regulation Division of DHHS investigates licensure infractions and take appropriate actions
- (4) The Health Care Personnel Registry section of the Health Services Regulation Division investigates personnel infractions and takes appropriate actions
- (5) Disability Rights of NC, formerly the Governor's Advocacy Council for Persons with Disabilities analyzes trends and advocates as warranted

A summary of incident reporting and follow-up actions is included in the PIHP'S reporting to DMA. Providers are required to develop and implement written policies governing their response to incidents, including conducting investigations. The policies must also include attending to the health and safety needs of individuals involved in the incident, determining the cause of the incident, and developing and implementing corrective measures according to provider specified timeframes not to exceed 45 days. Policies must also include notification of the beneficiary of the results of any investigation. The timeframe for informing the beneficiary, including all relevant parties, of the investigation results is within three (3) months of the date of the incident. The PIHP submits a summary of incident reports as well as related performance measures to DMA on a quarterly basis.

A provider internal review team must meet within 24 hours of any incident that results in, or creates a significant risk of resulting in death, sexual assault or permanent physical or psychological impairment to a consumer or by a consumer. In North Carolina, these are referred to as Level III Incidents. The internal review team consists of individuals who were not involved in the incident and who were not responsible for the consumer's direct care or with the direct professional oversight of the consumer's services at the time of the incident. Preliminary findings of fact are sent to the host PIHP and the PIHP where the consumer resides (if different) within five (5) working days of the incident. A final written report signed by the owner of the provider organization is submitted to the PIHP within three (3) months of the incident. The final written report must address the issues identified by the internal review team; include all public documents related to the incident, and make recommendations for minimizing the occurrence of future incidents. The provider must also immediately report incidents of this level to the host PIHP, the PIHP where the consumer resides (if different), the North Carolina Department of Health and Human Services through the online Incident Response Improvement System (IRIS), the provider agency with responsibility for maintaining and updating the consumer's treatment plan if different from the reporting provider, the consumer's legal guardian if applicable, and any other authorities required by law.

The PIHP must report Level III Incidents to the North Carolina Division of Mental Health, Developmental Disabilities and Substance Abuse Services within 72 hours of becoming aware of the incident. Licensed providers must also send a copy of all Level III Incidents involving a consumer death to the NC Division of Health Service Regulation within 72 hours of becoming aware of the incident when the death was an accident, suicide or homicide.

All cases of client death must be reported immediately to the PIHP.

Each PIHP develops and implements written policies governing local monitoring based on provider incident reporting.

Minimally, these policies include review of how providers respond to incidents and ensure consumer safety, monitor and provide technical assistance as warranted to ensure that problems are corrected, analyze and respond to patterns of incidents as part of QI monitoring and processes, determine if public scrutiny is an issue, and ensure that Level III Incidents are reported to the DMH/DD/SAS.

The DMH/DD/SAS is responsible for analyzing and responding to statewide patterns of incidents as part of QI and monitoring PIHP oversight of response processes, produce statewide quarterly incident trend reports, review PIHP oversight of providers and follow up as warranted to ensure problems are corrected, and analyze and respond to statewide patterns of incidents as part of QI and monitoring processes.

- 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.

The Department of Health and Human Services is the State Department that oversees the Division of Medical Assistance (DMA) and the DMH/DD/SAS. DMA tracks performance measures and receives all incident reports quarterly. The DMH/DD/SAS also assists in the oversight of critical incidents and events.

Aggregate data for all incidents is collected by the provider and submitted to the PIHP quarterly. Additionally, all Level II and Level III incidents are recorded in the North Carolina online Incident Response Information System. DMA and the DMH/DD/SAS reviews all data and monitors the PIHPs oversight of providers and follows up as warranted to ensure that problems are corrected. The DMH/DD/SAS also analyzes and responds to statewide patterns of incidents as part of Quality Improvement and monitoring processes.

Level I incidents are maintained on site by the provider agency and are reviewed by the PIHP during routine monitoring. Level II and Level III incidents are reported by the provider within 72 hours of the incident occurring. The PIHP and the DMH/DD/SAS reviews all Level III incidents within 72 hours of receiving the report. In cases of beneficiary death within 7 days of restrictive intervention, the PIHP and the DHHS is notified immediately.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 3)

- a. Use of Restraints.** *(Select one): (For waiver actions submitted before March 2014, responses in Appendix G-2-a will display information for both restraints and seclusion. For most waiver actions submitted after March 2014, responses regarding seclusion appear in Appendix G-2-c.)*

- The State does not permit or prohibits the use of restraints**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restraints and how this oversight is conducted and its frequency:

- The use of restraints is permitted during the course of the delivery of waiver services.** Complete Items G-2-a-i and G-2-a-ii.

- i. Safeguards Concerning the Use of Restraints.** Specify the safeguards that the State has established concerning the use of each type of restraint (i.e., personal restraints, drugs used as restraints, mechanical restraints). State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

NC Administrative Code at 10A NCAC 27E.0107 addresses Training on Alternatives to Restrictive Interventions.

Restrictive interventions are reported via the incident reporting rules at 10A NCAC 27 G.0600 . The DHHS Restrictive Intervention Details Report is completed along with the incident report.

Restrictive interventions governed by 10a NCAC 27e .0104 include seclusion, physical restraint, isolation time-out and protective devices used for behavioral control. Use of these interventions is limited to

emergency situations in order to terminate a behavior or action in which the individual is in imminent danger of abuse or injury to self or other persons or when property damage is occurring that poses imminent risk of danger of injury or harm to self or others; or as a planned measure of therapeutic treatment. Restrictive interventions shall not be employed as a means of coercion, punishment or retaliation by staff or for the convenience of staff or due to inadequacy of staffing. Restrictive interventions shall not be used in a manner that causes harm or abuse.

Positive and less restrictive alternatives must be considered and attempted whenever possible prior to the use of more restrictive interventions. Providers shall implement policies and practices that emphasize the use of alternatives to restrictive interventions. They shall establish training based on state competencies and the contents of the training must be approved by DMH/DD/SAS. Formal refresher training must be completed by each service provider at least annually. Competencies include:

- knowledge and understanding of the people being served;
- recognizing and interpreting human behavior;
- recognizing the effect of internal and external stressors that may affect people with disabilities;
- strategies for building positive relationships with persons with disabilities / TBI;
- recognizing cultural, environmental and organizational factors that may affect people with disabilities / TBI;
- recognizing the importance of and assisting in the person's involvement in making decisions about their life;
- skills in assessing individual risk for escalating behavior;
- communication strategies for defusing and de-escalating potentially dangerous behavior; and
- positive behavioral supports (providing means for people with TBI to choose activities which directly oppose or replace behaviors which are unsafe).

Emergency interventions may only be employed for up to 15 minutes without further authorization by the responsible professional or another qualified professional who is approved to use and to authorize the use of the restrictive intervention based on experience and training. Whenever an individual is in seclusion or physical restraint, including a protective device when used for the purpose or with the intent of controlling unacceptable behavior, the individual must be observed at least every 15 minutes, or more often as necessary, to assure safety. Whenever an individual is in isolation time-out: there shall be a facility employee in attendance with no other immediate responsibility than to monitor the individual. There shall be continuous observation and verbal interaction when appropriate. This observation must be documented. If an individual is in a physical restraint and may be subject to injury, a facility employee shall remain present with the individual continuously.

When protective devices are used for an individual, there must be documentation that the staff are trained and competent to use the device, that there has been a review of less restrictive alternatives that have not been successful, and that review has been made by a Client Right's Committee. The intervention and monitoring of the individual for health and safety must be documented.

When restraints are used, there must be continuous assessment of the individual to ensure their physical and psychological well being throughout the intervention. Staff who are trained in emergency safety interventions and CPR must be present during the restrictive procedure.

Seclusion, physical restraint and isolation time-out may be employed only by staff that have been trained and have demonstrated competence in the proper use of and alternatives to these procedures. Prior to providing direct care to people with traumatic brain injury whose treatment/rehabilitation plan includes restrictive interventions, staff shall complete training in the use of seclusion, physical restraint and isolation time-out and shall not use these interventions until the training is completed and competence is demonstrated. A pre-requisite for taking this training is demonstrating competence by completion of training in preventing, reducing and eliminating the need for restrictive interventions. The training shall be competency-based and must be approved by DMH/DD/SAS. A formal refresher training must be completed by each staff at least annually. Training programs shall include, but are not limited to, presentation of:

- refresher information on alternatives to the use of restrictive interventions;
- guidelines on when to intervene (understanding imminent danger to self and others);
- emphasis on safety and respect for the rights and dignity of all persons involved (using concepts of least restrictive interventions and incremental steps in an intervention);
- strategies for the safe implementation of restrictive interventions;
- the use of emergency safety interventions which include continuous assessment and monitoring of the physical and psychological well-being of the client and the safe use of restraint throughout the duration of

the restrictive intervention;

- prohibited procedures;
- debriefing strategies, including their importance and purpose; and
- documentation methods/procedures.

At a minimum documentation of the use of restraints or seclusion must include:

- the individual's physical and psychological well-being;
- frequency, intensity and duration of the behavior which led to the intervention
- any precipitating event;
- the rationale for the use of the intervention, the positive or less restrictive interventions considered and used and the inadequacy of less restrictive intervention techniques that were used;
- a description of the intervention and the date, time and duration of its use;
- a description of accompanying positive methods of intervention;
- a description of the debriefing and planning with the client and the legally responsible person, if applicable, for the emergency use of seclusion, physical restraint or isolation time-out to eliminate or reduce the probability of the future use of restrictive interventions;
- a description of the debriefing and planning with the client and the legally responsible person, if applicable, for the planned use of seclusion, physical restraint or isolation time-out, if determined to be clinically necessary; and
- signature and title of the facility employee who initiated, and of the employee who further authorized, the use of the intervention.

When any restrictive intervention is utilized the legally responsible person shall be notified immediately unless she/he has requested not to be notified. When restrictive interventions are utilized as part of a behavioral plan, the behavior plan must include steps and less restrictive measures that must be utilized prior to the restrictive procedure. Planned use of restrictive interventions must be reviewed by a Human Rights Committee prior to implementation. Utilization of unplanned restrictive procedure will be documented on the DHHS online Incident Response Information System (IRIS). This report is submitted within 72 hours of the use of a restrictive intervention to the LME-PIHP. Any reports of unauthorized use or misapplication of restraints will be investigated by the PIHP. Care Coordination monitors at least quarterly to ensure any restrictive interventions (including protective devices used for behavioral support) are written into the ISP and the Positive Behavior Support plan and that the Positive Behavioral Support plan is signed/approved by a licensed psychologist and approved by the Client Right's Committee.

- ii. State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of restraints and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

State agencies and the PIHP are regularly informed on the use of restraints, restrictive interventions and rights restrictions through incident reporting and data reports. The PIHPs report quarterly on the use of restraints to DMA. In addition, NC Administrative Code 10A NCAC 27E .0104 and 10A NCAC 27G .0600, requires provider agencies to participate in the DHHS online Incident Response Information System (IRIS) for responding to and reporting critical incidents and other life endangering situations. This system addresses deaths, injuries, behavioral interventions, including physical restraints, management of medications, allegations of abuse or neglect, and beneficiary behavior issues. The PIHPs provide oversight to the use of restrictive behavioral interventions. These incidents are reviewed during provider monitoring reviews by the PIHP. State agencies review the use of restraints, restrictive interventions and rights restrictions if complaints are made to the state advocacy and consumer affairs office. Any significant injuries which result from employment of a restraint, restrictive intervention or rights restriction must be carefully analyzed and immediately reported to state agencies and the PIHP.

If the agency is licensed through the Division of Health Service Regulation, the PIHP, DMA, or the DMH/DD/SAS may contact the Division of Health Service Regulation regarding any concerns. Providers report aggregate data to the PIHP quarterly. The PIHP collects this data for DMA.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 3)

b. Use of Restrictive Interventions. *(Select one):*

- The State does not permit or prohibits the use of restrictive interventions**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

- The use of restrictive interventions is permitted during the course of the delivery of waiver services** Complete Items G-2-b-i and G-2-b-ii.

- i. Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the State has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

NC Administrative Code at 10A NCAC 27E.0107 addresses Training on Alternatives to Restrictive Interventions.

Restrictive interventions are reported via the incident reporting rules at 10A NCAC 27 G.0600 . The DHHS Restrictive Intervention Details Report is completed along with the incident report.

Restrictive interventions governed by 10a NCAC 27e .0104 include seclusion, physical restraint, isolation time-out and protective devices used for behavioral control. Use of these interventions is limited to emergency situations in order to terminate a behavior or action in which the individual is in imminent danger of abuse or injury to self or other persons or when property damage is occurring that poses imminent risk of danger of injury or harm to self or others; or as a planned measure of therapeutic treatment. Restrictive interventions shall not be employed as a means of coercion, punishment or retaliation by staff or for the convenience of staff or due to inadequacy of staffing. Restrictive interventions shall not be used in a manner that causes harm or abuse.

Positive and less restrictive alternatives must be considered and attempted whenever possible prior to the use of more restrictive interventions. Providers shall implement policies and practices that emphasize the use of alternatives to restrictive interventions. They shall establish training based on state competencies and the contents of the training must be approved by DMH/DD/SAS. Formal refresher training must be completed by each service provider at least annually. Competencies include:

- knowledge and understanding of the people being served;
- recognizing and interpreting human behavior;
- recognizing the effect of internal and external stressors that may affect people with disabilities / TBI;
- strategies for building positive relationships with persons with traumatic brain injuries;
- recognizing cultural, environmental and organizational factors that may affect people with disabilities;
- recognizing the importance of and assisting in the person's involvement in making decisions about their life;
- skills in assessing individual risk for escalating behavior;
- communication strategies for defusing and de-escalating potentially dangerous behavior; and
- positive behavioral supports (providing means for people with TBI to choose activities which directly oppose or replace behaviors which are unsafe).

Emergency interventions may only be employed for up to 15 minutes without further authorization by the responsible professional or another qualified professional who is approved to use and to authorize the use of the restrictive intervention based on experience and training. Whenever an individual is in seclusion or physical restraint, including a protective device when used for the purpose or with the intent of controlling unacceptable behavior, the individual must be observed at least every 15 minutes, or more often as necessary, to assure safety. Whenever an individual is in isolation time-out: there shall be a facility employee in attendance with no other immediate responsibility than to monitor the individual. There shall

be continuous observation and verbal interaction when appropriate. This observation must be documented. If an individual is in a physical restraint and may be subject to injury, a facility employee shall remain present with the individual continuously.

When protective devices are used for an individual, there must be documentation that the staff are trained and competent to use the device, that there has been a review of less restrictive alternatives that have not been successful, and that review has been made by a Client Right's Committee. The intervention and monitoring of the individual for health and safety must be documented.

When restraints are used, there must be continuous assessment of the individual to ensure their physical and psychological well being throughout the intervention. Staff who are trained in emergency safety interventions and CPR must be present during the restrictive procedure.

Seclusion, physical restraint and isolation time-out may be employed only by staff that have been trained and have demonstrated competence in the proper use of and alternatives to these procedures. Prior to providing direct care to people with traumatic brain injuries whose treatment/ rehabilitation plan includes restrictive interventions, staff shall complete training in the use of seclusion, physical restraint and isolation time-out and shall not use these interventions until the training is completed and competence is demonstrated. A pre-requisite for taking this training is demonstrating competence by completion of training in preventing, reducing and eliminating the need for restrictive interventions. The training shall be competency-based and must be approved by DMH/DD/SAS. A formal refresher training must be completed by each staff at least annually. Training programs shall include, but are not limited to, presentation of:

- refresher information on alternatives to the use of restrictive interventions;
- guidelines on when to intervene (understanding imminent danger to self and others);
- emphasis on safety and respect for the rights and dignity of all persons involved (using concepts of least restrictive interventions and incremental steps in an intervention);
- strategies for the safe implementation of restrictive interventions;
- the use of emergency safety interventions which include continuous assessment and monitoring of the physical and psychological well-being of the client and the safe use of restraint throughout the duration of the restrictive intervention;
- prohibited procedures;
- debriefing strategies, including their importance and purpose; and
- documentation methods/procedures.

At a minimum documentation of the use of restraints or seclusion must include:

- the individual's physical and psychological well-being;
- frequency, intensity and duration of the behavior which led to the intervention
- any precipitating event;
- the rationale for the use of the intervention, the positive or less restrictive interventions considered and used and the inadequacy of less restrictive intervention techniques that were used;
- a description of the intervention and the date, time and duration of its use;
- a description of accompanying positive methods of intervention;
- a description of the debriefing and planning with the client and the legally responsible person, if applicable, for the emergency use of seclusion, physical restraint or isolation time-out to eliminate or reduce the probability of the future use of restrictive interventions;
- a description of the debriefing and planning with the client and the legally responsible person, if applicable, for the planned use of seclusion, physical restraint or isolation time-out, if determined to be clinically necessary; and
- signature and title of the facility employee who initiated, and of the employee who further authorized, the use of the intervention.

When any restrictive intervention is utilized the legally responsible person shall be notified immediately unless she/he has requested not to be notified. When restrictive interventions are utilized as part of a behavioral plan, the behavior plan must include steps and less restrictive measures that must be utilized prior to the restrictive procedure. Planned use of restrictive interventions must be reviewed by a Human Rights Committee prior to implementation. Utilization of any restrictive procedure, planned or unplanned (unauthorized) will be documented on the DHHS online Incident Response Information System (IRIS). This report is submitted within 72 hours of the use of a restrictive intervention to the LME-PIHP. Any reports of unauthorized use or misapplication of restraints will be investigated by the PIHP. Care Coordination monitors at least quarterly to ensure any restrictive interventions (including protective devices used for behavioral support) are written into the ISP and the Positive Behavior Support plan and that the

Positive Behavioral Support plan is signed/approved by a licensed psychologist and approved by the Client Right's Committee.

- 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:

State agencies and the PIHP are regularly informed on the use of restraints, restrictive interventions and rights restrictions through incident reporting and data reports. The PIHPs report quarterly on the use of restraints to DMA. In addition, NC Administrative Code 10A NCAC 27E .0104 and 10A NCAC 27G .0600, requires provider agencies to participate in the DHHS online Incident Response Information System (IRIS) for responding to and reporting critical incidents and other life endangering situations. This system addresses deaths, injuries, behavioral interventions, including physical restraints, management of medications, allegations of abuse or neglect, and beneficiary behavior issues. The PIHPs provide oversight to the use of restrictive behavioral interventions. These incidents are reviewed during provider monitoring reviews by the PIHP. State agencies review the use of restraints, restrictive interventions and rights restrictions if complaints are made to the state advocacy and consumer affairs office. Any significant injuries which result from employment of a restraint, restrictive intervention or rights restriction must be carefully analyzed and immediately reported to state agencies and the PIHP.

If the agency is licensed through the Division of Health Service Regulation, the PIHP, DMA, or the DMH/DD/SAS may contact the Division of Health Service Regulation regarding any concerns. Providers report aggregate data to the PIHP quarterly. The PIHP collects this data for DMA.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (3 of 3)

- c. Use of Seclusion.** *(Select one): (This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

- The State does not permit or prohibits the use of seclusion**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of seclusion and how this oversight is conducted and its frequency:

- The use of seclusion is permitted during the course of the delivery of waiver services.** Complete Items G-2-c-i and G-2-c-ii.

- i. Safeguards Concerning the Use of Seclusion.** Specify the safeguards that the State has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

NC Administrative Code at 10A NCAC 27E.0107 addresses Training on Alternatives to Restrictive Interventions.

Restrictive interventions governed by 10a NCAC 27e .0104 include seclusion, physical restraint, isolation time-out and protective devices used for behavioral control. Use of these interventions is limited to emergency situations in order to terminate a behavior or action in which the individual is in imminent danger of abuse or injury to self or other persons or when property damage is occurring that poses imminent risk of danger of injury or harm to self or others; or as a planned measure of therapeutic treatment. Restrictive interventions shall not be employed as a means of coercion, punishment or retaliation by staff or for the convenience of staff or due to inadequacy of staffing. Restrictive interventions shall not be used in a manner that causes harm or abuse.

Positive and less restrictive alternatives must be considered and attempted whenever possible prior to the

use of more restrictive interventions. Providers shall implement policies and practices that emphasize the use of alternatives to restrictive interventions. They shall establish training based on state competencies and the contents of the training must be approved by DMH/DD/SAS. Formal refresher training must be completed by each service provider at least annually. Competencies include:

- knowledge and understanding of the people being served;
- recognizing and interpreting human behavior;
- recognizing the effect of internal and external stressors that may affect people with disabilities/TBI;
- strategies for building positive relationships with persons with disabilities / TBI;
- recognizing cultural, environmental and organizational factors that may affect people with disabilities / TBI;
- recognizing the importance of and assisting in the person's involvement in making decisions about their life;
- skills in assessing individual risk for escalating behavior;
- communication strategies for defusing and de-escalating potentially dangerous behavior; and
- positive behavioral supports (providing means for people with disabilities / TBI to choose activities which directly oppose or replace behaviors which are unsafe).

Emergency interventions may only be employed for up to 15 minutes without further authorization by the responsible professional or another qualified professional who is approved to use and to authorize the use of the restrictive intervention based on experience and training. Whenever an individual is in seclusion or physical restraint, including a protective device when used for the purpose or with the intent of controlling unacceptable behavior, the individual must be observed at least every 15 minutes, or more often as necessary, to assure safety. Whenever an individual is in isolation time-out: there shall be a facility employee in attendance with no other immediate responsibility than to monitor the individual. There shall be continuous observation and verbal interaction when appropriate. This observation must be documented. If an individual is in a physical restraint and may be subject to injury, a facility employee shall remain present with the individual continuously.

When protective devices are used for an individual, there must be documentation that the staff are trained and competent to use the device, that there has been a review of less restrictive alternatives that have not been successful, and that review has been made by a Client Right's Committee. The intervention and monitoring of the individual for health and safety must be documented.

When restraints are used, there must be continuous assessment of the individual to ensure their physical and psychological well-being throughout the intervention. Staff who are trained in emergency safety interventions and CPR must be present during the restrictive procedure.

Seclusion, physical restraint and isolation time-out may be employed only by staff that have been trained and have demonstrated competence in the proper use of and alternatives to these procedures. Prior to providing direct care to people with disabilities whose treatment/rehabilitation plan includes restrictive interventions, staff shall complete training in the use of seclusion, physical restraint and isolation time-out and shall not use these interventions until the training is completed and competence is demonstrated. A prerequisite for taking this training is demonstrating competence by completion of training in preventing, reducing and eliminating the need for restrictive interventions. The training shall be competency-based and must be approved by DMH/DD/SAS. A formal refresher training must be completed by each staff at least annually. Training programs shall include, but are not limited to, presentation of:

- refresher information on alternatives to the use of restrictive interventions;
- guidelines on when to intervene (understanding imminent danger to self and others);
- emphasis on safety and respect for the rights and dignity of all persons involved (using concepts of least restrictive interventions and incremental steps in an intervention);
- strategies for the safe implementation of restrictive interventions;
- the use of emergency safety interventions which include continuous assessment and monitoring of the physical and psychological well-being of the client and the safe use of restraint throughout the duration of the restrictive intervention;
- prohibited procedures;
- debriefing strategies, including their importance and purpose; and
- documentation methods/procedures.

At a minimum documentation of the use of restraints or seclusion must include:

- the individual's physical and psychological well-being;

- ii. State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of seclusion and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

State agencies and the PIHP are regularly informed on the use of restraints, restrictive interventions and rights restrictions through incident reporting and data reports. The PIHPs report quarterly on the use of restraints to DMA. In addition, NC Administrative Code 10A NCAC 27E .0104 and 10A NCAC 27G .0600, requires provider agencies to participate in the DHHS online Incident Response Information System (IRIS) for responding to and reporting critical incidents and other life endangering situations. This system addresses deaths, injuries, behavioral interventions, including physical restraints, management of medications, allegations of abuse or neglect, and beneficiary behavior issues. The PIHPs provide oversight to the use of restrictive behavioral interventions. These incidents are reviewed during provider monitoring reviews by the PIHP. State agencies review the use of restraints, restrictive interventions and rights restrictions if complaints are made to the state advocacy and consumer affairs office. Any significant injuries which result from employment of a restraint, restrictive intervention or rights restriction must be carefully analyzed and immediately reported to state agencies and the PIHP.

If the agency is licensed through the Division of Health Service Regulation, the PIHP, DMA, or the DMH/DD/SAS may contact the Division of Health Service Regulation regarding any concerns. Providers report aggregate data to the PIHP quarterly. The PIHP collects this data for DMA.

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.

North Carolina Administrative Code at 10A NCAC 27G.0209 outlines medication requirements for individuals in 24-hour facilities. Provider agencies are required to have a pharmacist or physician complete quarterly medication/drug reviews for consumers taking medications with potentially serious side effects. The results of the review are reviewed by the PIHP with the provider agency. An independent peer review by a pharmacist or physician is conducted at least once every six months for service beneficiaries receiving antipsychotic medications and at least once every three months for individuals receiving opioids. PIHPs conduct monitoring of providers on an annual basis in addition to the quarterly review completed by the pharmacist and physician.

PIHPs complete incident reports with aggregate information and submit to the state agency quarterly. More serious incidents that threaten an individual's health and safety as determined by a pharmacist or physician are reported within 72 hours through the state's incident reporting system.

- 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.

State rules and regulations outline requirements for policies and procedural precautions which must be implemented for medication management, which includes prohibited practices. Provider agencies are required to

have a pharmacist or physician complete quarterly medication/drug reviews for consumers taking medications with potentially serious side effects. The results of the review are reviewed by the state regulatory entities during annual or complaint reviews.

Harmful practices are identified through the incident reporting and PIHPs monitoring process. These practices are addressed through plans of corrections, increased monitoring, and additional training. Criteria for additional training include Level 1 and Level 2 incidents that could be remediated via training. The DMA contract monitors are responsible for oversight. In addition to quarterly reporting, critical incidents are reported to the contract managers immediately for follow up by DMH/DD/SAS Customer Services. The contract managers work with the IMT to determine harmful trends and identify quality improvement strategies. Depending on the nature of the strategy, the PIHP quality strategy may be amended or the strategy may be used by the PIHP as a Performance Improvement Plan.

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).

Beneficiaries who self-medicate are required to have an assessment on their ability to self-medicate and a physician must sign an order for self-medication. Documentation must be maintained as outlined in state rules/regulations.

The rule specific to medication administration is 10A NCAC 27G. 0209. It notes the following:

- Prescription or non-prescription drugs shall only be administered to a client on the written order of a person authorized by law to prescribe drugs.
- Medications shall be self-administered by beneficiaries only when authorized in writing by the beneficiary's physician.
- Medications, including injections, shall be administered only by licensed persons, or by unlicensed persons trained by a registered nurse, pharmacist or other legally qualified person and privileged to prepare and administer medications.
- A Medication Administration Record (MAR) of all drugs administered to each client must be kept current. Medications administered shall be recorded immediately after administration

As State administrative rules require that unlicensed personnel who administer medication be trained by registered nurses, pharmacists or physicians, The Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) endorses the instructor training offered at Area Health Education Centers (AHECs).

Please note that licensed home care and licensed hospice agencies must comply with applicable licensure rules and requirements as outlined by the Division of Health Service Regulation (DHSR). As such, if a waiver provider is also a licensed home care or hospice provider then the administrative rules that govern mental health/developmental disabilities, Traumatic Brain Injury, and substance abuse providers do not supersede those that govern licensed home care or hospice providers.

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:

a) Provider agencies report medication errors to the PIHP who, in turn, reports the errors to the Division of MH/DD/SAS through incident reporting described in Appendix G-1.

(b) Specify the types of medication errors that providers are required to *record*:

b) Errors reported include: wrong or missed dosage, wrong medication, wrong time (over 1 hour from prescribed time) or medication refusals by the beneficiary.

(c) Specify the types of medication errors that providers must *report* to the State:

c) Any error that results in permanent physical or psychological impairment is reported to the Division of MH/DD/SAS via Level III incident reporting.

Any error that does not threaten the individual's health and safety, as determined by a physician or pharmacist notified of the error is reported via Level I incident reporting.

- Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the State.**

Specify the types of medication errors that providers are required to record:

- iv. State Oversight Responsibility.** Specify the State agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

The PIHP reports medication errors via incident reporting described in Appendix G-1. This includes Quarterly Reporting to the Division of DMH/DD/SAS.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. Methods for Discovery: Health and Welfare

The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare. (For waiver actions submitted before June 1, 2014, this assurance read "The State, on an ongoing basis, identifies, addresses, and seeks to prevent the occurrence of abuse, neglect and exploitation.")

i. Sub-Assurances:

- a. Sub-assurance: *The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.)***

Performance Measures

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

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

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

Performance Measure:

Number and Percent of Actions Taken to Protect the Beneficiary, where indicated.

Numerator: Number of actions taken to protect the beneficiary from additional harm, where indicated. **Denominator:** All actions where protective actions were indicated.

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

Performance Measure:

Percentage of incidents referred to the Division of Social Services or the Division of Health Service Regulation as required. Numerator: Number of critical incidents reported to DHSR. Denominator: Total number of incidents required to be reported to DHSR

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

Responsible Party for data collection/generation (<i>check each that applies</i>):	Frequency of data collection/generation (<i>check each that applies</i>):	Sampling Approach (<i>check each that applies</i>):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:
Number and Percentage of deaths where required LME/PIHP follow-up interventions were completed as required. Numerator: Number of deaths where follow up intervention was completed by the LME/PIHP. Denominator: All deaths where follow up intervention was required.

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify:	

	<input type="text"/>
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Data Aggregation and Analysis:

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

Performance Measure:

Percentage of medication errors resulting in medical treatment. Numerator: Number of beneficiaries requiring emergency medical treatment or hospitalization due to medication error. Denominator: All medication errors that were reported for beneficiaries.

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:

		<input type="text"/>
	<input type="checkbox"/> Other Specify:	<input type="text"/>

Data Aggregation and Analysis:

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

Performance Measure:

Percentage of beneficiaries who received appropriate medication
Numerator: Total number of beneficiaries who did not have a medication error reported
Denominator: Total number of number of beneficiaries prescribed medication

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

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

	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis:

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

- b. *Sub-assurance: The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.*

Performance Measures

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

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

Performance Measure:

Percentage of level 2 and 3 incidents reported within required time frames.

Numerator: Number of incidents addressed within required time frames as specified in State Policy. Denominator: Total number of incidents reported

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Critical events and incident reports

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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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Percentage of level 2 or 3 incidents where required LME/PIHP follow-up interventions were completed as required. Numerator: Number of Level 2 or 3 incident reports received by type of incident. Denominator: All level 2 or 3 incidents where LME/PIHP follow-up intervention was required.

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Percentage of incidents referred to the Division of Social Services or the Division of Health Service Regulation as required. Numerator: Number of critical incidents reported to DHSR. Denominator: Total number of incidents required to be reported to DHSR.

Data Source (Select one):

Other

If 'Other' is selected, specify:

NC Incident and Reporting System

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

c. *Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.*

Performance Measures

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

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

Performance Measure:

Percentage of restrictive interventions resulting in medical treatment. Numerator: Number of beneficiaries requiring emergency medical treatment or hospitalization due to injury related to the use of a restrictive intervention Denominator: All beneficiaries who have had a restrictive intervention

Data Source (Select one):

Other

If 'Other' is selected, specify:

Critical events and incident reports

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

	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>
--	--

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

- d. *Sub-assurance: The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.*

Performance Measures

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

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

Performance Measure:

The percentage of waiver beneficiaries age 21 and older who had a primary care or preventative care visit during the waiver year. Numerator: Number of waiver beneficiaries age 21 and older who had a primary care or preventative care visit during the waiver year. Denominator: Number of waiver beneficiaries

Data Source (Select one):

Other

If 'Other' is selected, specify:

Review of claims data on primary care or preventative care visits.

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

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

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.

The PIHPs will analyze and address problems identified and include the analysis in the report to DMA and the intradepartmental monitoring team. In situations where providers are involved, the PIHPs may require provider corrective action plans or take other measures to ensure consumer protection. DMA will require corrective action plans of the PIHP if it is determined that appropriate action was not taken by the PIHP. Such corrective action plans are subject to DMA approval and monitored by DMA. DMA requires the PIHPs to contact DMA immediately about any issue that has or may have a significant negative impact on beneficiary health and welfare. DMA and the PIHPs work together to resolve such issues as they occur.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

- No**
- Yes**

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

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 QIS discovery and remediation sections throughout the application (located in Appendices A, B, C, D, G, and I) , a state spells out:

- The evidence based discovery activities that will be conducted for each of the six major waiver assurances;
- The *remediation* activities followed to correct individual problems identified in the implementation of each of the assurances;

In Appendix H of the application, a State describes (1) the *system improvement* activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent *roles/responsibilities* of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously *assess the effectiveness of the OIS* and revise it as necessary and appropriate.

If the State's Quality Improvement Strategy is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its Quality Improvement Strategy, including the specific tasks the State plans to undertake during the period the waiver is in effect, the major milestones associated with these tasks, and the entity (or entities) responsible for the completion of these tasks.

When the Quality Improvement Strategy spans more than one waiver and/or other types of long-term care services under the Medicaid State plan, specify the control numbers for the other waiver programs and/or identify the other long-term services that are addressed in the Quality Improvement Strategy. In instances when the QIS spans more than one waiver, the State must be able to stratify information that is related to each approved waiver program. Unless the State has requested and received approval from CMS for the consolidation of multiple waivers for the purpose of reporting, then the State must stratify information that is related to each approved waiver program, i.e., employ a representative sample for each waiver.

Appendix H: Quality Improvement Strategy (2 of 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.

The North Carolina quality management strategy for the 1915(c) TBI Waiver and the accompanying 1915(b) waiver is a comprehensive plan incorporating quality assurance monitoring and ongoing quality improvement processes. The strategy focuses on methods for coordinating, assessing and continually improving the delivery of behavioral healthcare and Traumatic Brain Injury (TBI) services provided through prepaid inpatient health plans (PIHPs). The strategy encompasses an interdisciplinary collaborative approach through partnerships with enrollees and their families, stakeholders, governmental departments and divisions, contractors, the PIHPs, and community groups. System improvements are made based on findings from a number of discovery activities, including: performance measures outlined in both waivers and the DMA-PIHP contracts; ongoing performance improvement projects; onsite reviews by intradepartmental monitoring teams (IMT); external quality reviews; grievances and appeals tracking and trending; network adequacy studies; and, consumer and provider surveys. (A brief description of each key activity and how they are used for system improvement is provided at the end of this narrative.)

Findings from these activities are reviewed and addressed at three levels. First, each PIHP operating under the (b)/(c) waivers has a contract manager/consultant from DMA's Behavioral Health/IDD section who monitors the PIHP on a day-to-day basis, provides technical assistance, and collects and analyzes data from the discovery activities. Any issues needing immediate remediation are handled at this level.

The second level is an intradepartmental monitoring team (IMT) assigned to each PIHP. Each IMT is led by DMA and consists of the DMA contract manager and other staff from the State Medicaid Agency, the Division of MH/DD/SAS, other divisions within the NC DHHS as needed and the PIHP. Collectively, the individuals staffing the IMT have expertise in all areas of waiver operations, including clinical, finance, health information systems, program integrity, quality management and state and federal rules and regulations relevant to the waiver program. The IMTs meet monthly initially, then quarterly once the waiver program is fully implemented by the PIHP. The role of the IMTs is to monitor the operations of their respective PIHPs, provide technical assistance, review findings from discovery activities, identify challenges and successes, make recommendations for system improvements and monitor progress of any corrective action plans.

A third level of review and feedback is conducted by the DHHS Waiver Advisory Committee. As the (b)/(c) waiver program moved from the demonstration phase to statewide implementation, the DHHS Waiver Advisory Committee (DWAC) was developed to provide input and consultation on the expansion and ongoing operations of the waiver program. The DWAC is comprised of staff from DHHS, DMA, DMHDDSAS, the PIHPs, and representatives from provider and consumer groups, including local community and family advisory committees (CFAC), provider associations and local provider network councils. The individual intradepartmental monitoring teams assigned to each PIHP report community accomplishments, concerns and recommendations to the DWAC. The DWAC reviews quarterly and annual report summaries of PIHP performance. The DWAC provides consultation around local and statewide system goals; reviews outcome measures and trend data; highlights and recommends areas of best practice; and assists with problem identification and resolution. DWAC members serve on the committee for a two year term and are expected to communicate issues, concerns, and feedback from their constituent groups.

Through this multi-level process which provides for evaluation and feedback from consumers, providers, state staff and program experts, both challenges and successes in operating the waivers are identified. Potential solutions to concerns are thoroughly vetted by all stakeholders through the IMT and DWAC, and recommendations are made to DMA for system improvements.

Discovery Activities:

Performance Measures and Performance Improvement Projects:

DMA, in conjunction with the PIHPs and system stakeholders, identified the performance measures outlined in the TBI waiver document and in the DMA-PIHP contract. The performance measure results are reviewed annually and benchmarked with established performance standards/goals. DMA has also identified performance improvement projects that address a range of priority issues for the Medicaid population. Each PIHP is required to implement performance improvement projects in both clinical and non-clinical areas and report findings to DMA.

On-Site Reviews:

DMA and DMH conduct onsite monitoring reviews of each PIHP annually to evaluate compliance with the terms of the contract between DMA and the PIHP and State and federal Medicaid requirements, including TBI waiver requirements. The review of administrative operations (financial management, information technology, claims) and clinical operations (care management, utilization management, network management, quality management) consists of a documentation review and onsite interviews. A review of MH/DD/SAS care management records may be included in the review. Any compliance issues found during the review will require the submission of a corrective action plan to the IMT for approval and ongoing monitoring.

External Quality Review:

The federal and State regulatory requirements and performance standards as they apply to PIHPs are evaluated annually for the State in accordance with 42 CFR 438.310 by an independent External Quality Review Organization (EQRO), including a review of the services covered under each PIHP contract for a) timeliness, b) outcomes and c) accessibility. The EQRO produces, at least, the following information:

- A detailed technical report describing data aggregation and analysis and the conclusions (including an assessment of strengths and weaknesses) that were drawn as to the quality, timeliness and access to care furnished by the PIHP.
 - Validation of performance measures and performance improvement projects
 - Recommendations for improving the quality of healthcare services furnished by the PIHP
 - An assessment of the degree to which the PIHP effectively addressed previous EQRO review recommendations
- EQR results and technical reports are reviewed by the IMT for feedback. Ongoing EQR status reports, and final technical and project reports, are communicated through the IMT. Report results, including data and recommendations, are analyzed and used to identify opportunities for process and system improvements,

performance measures or performance improvement projects. Report results are also used to determine levels of compliance with requirements and assist in identifying next steps.

Grievance and Appeal Reports:

DMA review of grievance and appeal information is used to assess quality and utilization of care and services. The PIHP reports address type of grievance, source of grievance, type of provider (MH, I/DD, SA, TBI) and grievance resolution. The number, types and disposition of appeals are also reported. Results from ongoing analysis are applied to evaluation of grievances with quality expectations. Reports are submitted to DMA quarterly.

Network Adequacy:

The PIHPs are required to establish and maintain provider networks that meet the service needs of the waiver beneficiaries and to establish policies and procedures to monitor the adequacy, accessibility and availability of their provider networks. The PIHPs are required to conduct an analysis of their networks to demonstrate an appropriate number, mix and geographic distribution of providers, including geographic access of its members to practitioners and facilities. The analysis and findings are submitted to DMA annually.

Provider and Consumer Surveys:

Each PIHP administers a consumer survey annually designed to measure adult and child consumer experience and satisfaction with the PIHP. The survey contains questions designed to measure at least the following dimensions of client satisfaction with PIHP providers, services, delivery and quality:

- Overall satisfaction with PIHP services, delivery, access to care and quality
- Consumer knowledge of managed care from a patient's perspective
- Consumer knowledge of rights and responsibilities, including knowledge of grievance procedures and transfer process
- Cultural sensitivity
- Consumer perception of accessibility to services, including access to providers
- Additional factors that may be requested by the State

Each PIHP also administers a provider survey annually. The purpose of the provider satisfaction survey is to solicit input from providers regarding levels of satisfaction with program areas, such as claims submission and payment, assistance from the PIHP and communication.

ii. System Improvement Activities

Responsible Party <i>(check each that applies):</i>	Frequency of Monitoring and Analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Quality Improvement Committee	<input type="checkbox"/> Annually
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Other Specify: <input type="text"/>

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.

The need for system design changes is identified through the intradepartmental monitoring teams (IMT) and DHHS waiver advisory committee (DWAC) which make recommendations to DMA. DMA prioritizes and implements the needed changes. Contract managers, the IMTs and the DWAC use the discovery activities described above on an ongoing basis to determine whether the desired improvements have been achieved.

Additional discovery activities or changes to those already in place may be made to more effectively track the result of system changes.

- ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

The quality strategy is reviewed by the quality staff of DMA through an ongoing process that incorporates input from a multitude of sources. The effectiveness of the quality strategy is reviewed on an annual basis and revised based upon analysis of results by the quality management staff in DMA and the IMT. The quality strategy may be reviewed more frequently if significant changes occur that impact quality activities or threaten the potential effectiveness of the strategy. As a result of the annual analysis process, a quality plan for the upcoming year is developed that is congruent with the overall quality strategy. If changes need to be made to the quality strategy, DMA seeks public input

The revised quality management strategy is placed on the DMA website for public input over a 30-day period. In addition, each PIHP will present the quality strategy update for comments at CQI and CFAC meetings. Once public input has been received, the final strategy document is prepared and approved by the quality management staff in DMA. Following approval by DMA, any amendments to the quality strategy are shared with CMS. The final quality strategy is also published on the DMA website.

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).

The NC TBI waiver operates in conjunction with a 1915(b) waiver and all services are provided through prepaid inpatient health plans (PIHP). The Division of Medical Assistance (DMA) makes a capitated payment monthly to the PIHPs for each enrollee and the PIHPs provide all needed MH/DD/SA services to Medicaid beneficiaries through their provider networks. The PIHPs are required through their contracts with DMA to implement a compliance plan to guard against fraud and abuse, to conduct provider audits to verify that services authorized and paid for by the PIHP are actually provided and to take disciplinary action when needed. The PIHPs must report any incidents of fraud and abuse to DMA. Provider agencies are monitored at a frequency set by the PIHPs but no less than every three years.

The PIHPs are also contractually required to have their annual financial reports audited in accordance with Generally Accepted Auditing Standards by an independent certified public accountant and submit the audits to DMA. The annual financial audit is subject to independent verification and audit by a firm of DMA's choosing.

DMA assures that services are provided to waiver beneficiaries appropriately and as needed through several required activities described in the contract, such as routine financial and clinical reports by the PIHP, administration of consumer and provider surveys by the PIHP or an external entity, on site reviews of operational processes and procedures, record reviews and external quality review activities through an independent entity.

The entity responsible for conducting the independent audit of the waiver required by the Single Audit Act is the North Carolina Office of the State Auditor.

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. (For waiver actions submitted before June 1, 2014, this assurance read "State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.")

i. Sub-Assurances:

- a. **Sub-assurance: The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.**
(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)

Performance Measures

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

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

Performance Measure:

The proportion of claims paid by the PIHP for NC TBI wavier services that have been authorized in the service plan. Numerator: Number of C waiver claims paid for services that have been authorized by Utilization Management (UM). Denominator: Total number of C waiver claims paid.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Report from UM to DMA on claims paid.

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: PIHPs	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

- b. Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.**

Performance Measures

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

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

- 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. Medicaid capitated payments to the PIHP are developed and certified by actuarial staff in accordance with managed care requirements for contracts and rate development in 42 CFR Part 438. The actuaries use the PIHP encounter data to set the rates and take into consideration any program or policy changes that might impact the waiver program.

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.
The PIHP has the authority to require corrective action plans of each of their providers and recoup payments if they find that services are provided inappropriately – i.e. services are not provided in accordance with program requirements. The PIHP may require the providers to implement corrective action plans depending on the severity and nature of the problem. When significant problems are detected that may impact the health and safety of consumers, the PIHP reports to the State immediately. The State assists with remediation as appropriate and may require corrective actions by the PIHP.

**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):
--	--

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

c. Timelines

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

- No
- Yes

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

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

- a. Rate Determination Methods.** In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

The State employs an actuary to calculate actuarially sound payment rates per 42 CFR 438.6(c).

The PIHPs are responsible for setting all provider rates for waiver services. The PIHPs set rates based on demand for services, availability of qualified providers, clinical priority or best clinical practices and estimated provider service cost. The PIHPs use the State’s Medicaid rates for the same or similar services as a guide in setting rates.

All proposed changes to existing rates or for implementing new rates are reviewed internally by the PIHPs and externally by their respective PIHP provider advisory committee. The provider council is comprised of a cross section of the PIHP’s provider networks. Rate reviews focus on internal and external equity and consistency. Providers are notified of rate changes by announcement at the provider meetings and online posting on the PIHP’s website.

The PIHPs reimburse waiver service providers on a fee-for-service basis for most services and for most providers. To the extent that providers are capitated, then service level encounter data is provided so that the State can track services and set PIHP capitated rates.

- b. Flow of Billings.** Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the State's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:

DMA makes capitated payments to the PIHPs monthly for each waiver beneficiary through the State's Medicaid Management Information System (MMIS), in accordance with Section A.I.B of the concurrent 1915(b) waiver, "Delivery Systems" and the risk contract between the state Medicaid agency and the PIHP. The capitated payments are considered payment in full for all services covered under the waiver program.

Individual providers bill the PIHPs according to the terms of their respective contracts with the PIHP. The contract between DMA and the PIHPs outline requirements for subcontracting and timeliness of payment to providers by the PIHP. The PIHP may not contract with a subcontractor who is not eligible for participation in the Medicaid program.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

c. Certifying Public Expenditures *(select one)*:

- No. State or local government agencies do not certify expenditures for waiver services.**
- Yes. State or local government agencies directly expend funds for part or all of the cost of waiver services and certify their State government expenditures (CPE) in lieu of billing that amount to Medicaid.**

Select at least one:

- Certified Public Expenditures (CPE) of State Public Agencies.**

Specify: (a) the State government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). *(Indicate source of revenue for CPEs in Item I-4-a.)*

- Certified Public Expenditures (CPE) of Local Government Agencies.**

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). *(Indicate source of revenue for CPEs in Item I-4-b.)*

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

- d. Billing Validation Process.** Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

At the State Level:

The State determines eligibility for capitated payments by identifying individuals through the Medicaid Management Information System (MMIS) who, as of a set date at the end of each month have a special indicator that signifies participation in the TBI waiver. (The special indicator is entered in the State's Eligibility Information System (EIS) by the local departments of social services upon notification by the PIHPs that the individual has been approved for waiver participation. Eligibility changes are transmitted to the MMIS on a nightly basis.) The MMIS generates a capitated payment to the PIHPs at the beginning of the following month for each waiver beneficiary identified through this process. DMA requires the PIHPs to review a representative sample of records and encounter data periodically to determine whether assurances as to service plans and service delivery are met and report findings to DMA.

At the PIHP/Local Levels:

Eligibility for waiver participation is determined by the PIHPs and eligibility for Medicaid is determined by the local departments of social services (DSS). Initial level of care determinations are made by the PIHPs. The PIHPs notify the DSS when eligibility for waiver participation is authorized, the DSS then enters the special waiver indicator into the State's Eligibility Information System and the indicator is transmitted to the MMIS. The MMIS generates an enrollment report at the end of each month, which identifies waiver beneficiaries for whom payment will be made at the beginning of the next month. The PIHPs use this report to verify that waiver eligibility has been entered into the system and to identify any waiver beneficiaries who have lost Medicaid eligibility. Regarding payment for waiver services according to the plan of care, authorization for the individual waiver services in the plan is entered into the PIHP's claims payment system, which prevents payment for unauthorized services. The PIHPs monitor service delivery through care coordinator contact with waiver beneficiaries and billing audits of providers.

- e. **Billing and Claims Record Maintenance Requirement.** Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR §92.42.

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

- a. **Method of payments -- MMIS (select one):**

- Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).**
- Payments for some, but not all, waiver services are made through an approved MMIS.**

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- Payments for waiver services are not made through an approved MMIS.**

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system(s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.**

Describe how payments are made to the managed care entity or entities:

The PIHPs notify the local department of social services (DSS) that the individual has been approved to participate in the waiver. The DSS then enters eligibility for waiver participation into the State's Eligibility Information System (NCFAS). NCFAS transmits eligibility to the MMIS, which pays a capitated payment to the PIHP monthly for each waiver beneficiary. Capitated payments continue until one of the following occurs: the individual loses Medicaid eligibility; or, the DSS, upon instruction from the PIHP, removes the individual from the waiver. For waiver beneficiaries who have deductibles (spend-downs), the MMIS pays prorated capitated payments based on the date the deductible is met.

Appendix I: Financial Accountability

I-3: Payment (2 of 7)

b. Direct payment. In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (*select at least one*):

- The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.
- The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.
- The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

- Providers are paid by a managed care entity or entities for services that are included in the State's contract with the entity.

Specify how providers are paid for the services (if any) not included in the State's contract with managed care entities.

Not applicable

Appendix I: Financial Accountability

I-3: Payment (3 of 7)

c. Supplemental or Enhanced Payments. Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to States for expenditures for services under an approved State plan/waiver. Specify whether supplemental or enhanced payments are made. *Select one*:

- No. The State does not make supplemental or enhanced payments for waiver services.
- Yes. The State makes supplemental or enhanced payments for waiver services.

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the State to CMS. Upon request, the State will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

d. Payments to State or Local Government Providers. *Specify whether State or local government providers receive payment for the provision of waiver services.*

- No. State or local government providers do not receive payment for waiver services. Do not complete Item I-3-e.
- Yes. State or local government providers receive payment for waiver services. Complete Item I-3-e.

Specify the types of State or local government providers that receive payment for waiver services and the services that the State or local government providers furnish:

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. Amount of Payment to State or Local Government Providers.

Specify whether any State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the State recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. *Select one:*

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

- The amount paid to State or local government providers is the same as the amount paid to private providers of the same service.
- The amount paid to State or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.
- The amount paid to State or local government providers differs from the amount paid to private providers of the same service. When a State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the State recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. *Select one:*

- Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.
- Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the State.

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the State.

The PIHPs retain 100 percent of the monthly capitated payment.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

i. Voluntary Reassignment of Payments to a Governmental Agency. *Select one:*

- No. The State does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.

- Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR §447.10(e).**

Specify the governmental agency (or agencies) to which reassignment may be made.

ii. Organized Health Care Delivery System. *Select one:*

- No. The State does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR §447.10.**
- Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR §447.10.**

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

iii. Contracts with MCOs, PIHPs or PAHPs. *Select one:*

- 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**
- Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.**

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the State entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

Other State Level Source(s) of Funds.

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs. Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. *Select One:*

Not Applicable. There are no local government level sources of funds utilized as the non-federal share.

Applicable

Check each that applies:

Appropriation of Local Government Revenues.

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Other Local Government Level Source(s) of Funds.

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the State Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. Information Concerning Certain Sources of Funds. Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. *Select one:*

None of the specified sources of funds contribute to the non-federal share of computable waiver costs

The following source(s) are used

Check each that applies:

- Health care-related taxes or fees
- Provider-related donations
- Federal funds

For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

I-5: Exclusion of Medicaid Payment for Room and Board

a. **Services Furnished in Residential Settings.** *Select one:*

- No services under this waiver are furnished in residential settings other than the private residence of the individual.
- As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual.

b. **Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** The following describes the methodology that the State uses to exclude Medicaid payment for room and board in residential settings:

The capitated payments to the PIHPs are based on cost and utilization data submitted by the PIHPs for waiver services. Any costs of room and board for beneficiaries living in residential facilities are excluded from the rate setting calculations.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

- No. The State does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.
- Yes. Per 42 CFR §441.310(a)(2)(ii), the State will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The State describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

a. **Co-Payment Requirements.** Specify whether the State imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. *Select one:*

- No. The State does not impose a co-payment or similar charge upon participants for waiver services.
- Yes. The State imposes a co-payment or similar charge upon participants for one or more waiver services.

i. Co-Pay Arrangement.

Specify the types of co-pay arrangements that are imposed on waiver participants (*check each that applies*):

Charges Associated with the Provision of Waiver Services (if any are checked, complete Items I-7-a-ii through I-7-a-iv):

- Nominal deductible
 Coinsurance
 Co-Payment
 Other charge

Specify:

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)****a. Co-Payment Requirements.****ii. Participants Subject to Co-pay Charges for Waiver Services.**

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)****a. Co-Payment Requirements.****iii. Amount of Co-Pay Charges for Waiver Services.**

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)****a. Co-Payment Requirements.****iv. Cumulative Maximum Charges.**

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)**

b. Other State Requirement for Cost Sharing. Specify whether the State imposes a premium, enrollment fee or similar cost sharing on waiver participants. *Select one:*

- No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
 Yes. The State imposes a premium, enrollment fee or similar cost-sharing arrangement.

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the

groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: Hospital, Nursing Facility

Col. 1 Year	Col. 2 Factor D	Col. 3 Factor D'	Col. 4 Total: D+D'	Col. 5 Factor G	Col. 6 Factor G'	Col. 7 Total: G+G'	Col. 8 Difference (Col 7 less Column4)
1	49502.35	8127.00	57629.35	50152.00	8127.00	58279.00	649.65
2	50115.71	8216.00	58331.71	50552.00	8216.00	58768.00	436.29
3	50252.30	8206.00	58458.30	52160.00	8206.00	60366.00	1907.70

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (1 of 7)

- a. **Number Of Unduplicated Participants Served.** Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care:	Level of Care:
		Hospital	Nursing Facility
Year 1	49	5	44
Year 2	99	10	89
Year 3	107	12	95

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 7)

- b. **Average Length of Stay.** Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

The average length of stay for the waiver is 342.7 days. This figure is expected to be similar to the average length of stay for the State's current Innovations waiver, which was based on the actual State experience. The current Innovations waiver average length of stay was utilized since the majority of the Traumatic Brain Injury (TBI) waiver services are the same or similar to services covered under the Innovations waiver.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 7)

- 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 was estimated utilizing statewide State Fiscal Year (SFY) 2014 encounter data experience for the State's current 1915(c) Innovations waiver when the TBI waiver service was the same or similar to the Innovations waiver services. In cases where there was limited encounter data experience, figures from the Innovations waiver cost projections were used; these cost projections were based on earlier time periods with more available data. For services not in the Innovations waiver, the Factor D assumptions were informed by either another NC waiver or other state information. The sources for the Factor D service development are identified below.

Services comparable to current NC 1915(c) Innovations Services:

For the following services, the waiver cost projections were developed based on Innovations service utilization experience.

- Assistive Technology
- Community Networking
- Community Transition
- Crisis Services
- Day Supports
- Home Modification
- In Home Intensive
- Life Skills Training
- Natural Supports Education
- Personal Care
- Resource Facilitation
- Respite
- Specialized Consultation
- Supported Employment
- Vehicle Modifications

Cost/Unit: The State expects the providers of these services (qualifications, etc.) to be similar, if not the same actual providers, as those serving the current Innovations waiver participants. Therefore, unit costs were established consistent with the Innovations waiver with consideration of unit cost trend of 0.5% annually for waiver projection years. This level of trend is consistent with the unit cost component of trend assumed in recent statewide capitation rate development for the Innovations rate cell.

Number of Users and Units/User: The State worked with our actuaries to adjust the service cost projections as clinically appropriate in development of Factor D. Any utilization differences (both for proportion of users and units per user) of the TBI population compared to assumptions underlying the data were adjusted for as deemed appropriate.

Services comparable to current NC 1915(c) CAP/C or CAP/DA Waiver:

For the following service, the waiver cost projections were developed based on service utilization experience for the CAP/DA waiver.

- Adult Day Health

Cost/Unit: The State expects the providers of these services (qualifications, etc.) to be similar, if not the same actual providers, as those serving the current CAP waiver participants. Therefore, unit cost was established consistent with CAP waiver with consideration of unit cost trend of 0.5% annually for waiver projection years. This level of trend is consistent with the unit cost component of trend assumed in recent statewide capitation rate development for the Innovations rate cell.

Number of Users and Units/User: The State worked with our actuaries to adjust the service cost projections as clinically appropriate in development of Factor D. Any utilization differences (both for proportion of users and units per user) of the TBI population compared to assumptions underlying the data were adjusted for as deemed For each service new to the State, the service cost projections were handled as follows:

- Cognitive Rehabilitation: A state study was performed as many state TBI waivers have comparable services. The State determined the most comparable states based on service description and those unit costs and were leveraged in the Factor D development. The State determined an assumption for the proportion of users and

units per user based on an appropriate number of hours per week/month/year of this service and the particular needs of a TBI population.

- Extended Clinical (Physical Therapy/Occupational Therapy/Speech and Language Pathology [PT/OT/SLP]): The current State Medicaid fee schedule was leveraged for unit cost development. The State determined an assumption for the proportion of users and units per user based on an appropriate number of hours per week/month/year of this service and the particular needs of a TBI population.

- Residential Supports: While this isn't a new service for the State, the Residential Support levels for the TBI population are different than the existing Residential Support service levels under the Innovations waiver. The direct care hour assumptions were updated to align with the staffing ratios assumed for each level. The proportion of users was assumed to be consistent with the current Innovations waiver, and the State determined an assumption for units per user based on the appropriate days per year of this service and the particular needs of a TBI population at the various levels.

Since this waiver will be operated under managed care, the actual provider reimbursement rates will be established by the managed care entity. The unit costs utilized in the waiver development are consistent with the State's expectations that will be considered in the development of the capitation rate.

- 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:

Factor D' was established equal to Factor G' for this new waiver. In a state study of 23 Centers for Medicare and Medicaid Services (CMS) approved TBI-related waivers in 19 states, it was observed that on average D' was less than G'. This relationship varied significantly across states and in looking at various relativities of D, D', G, and G', it was determined that setting Factor D' equal to Factor G' was the most appropriate approach. This data was projected to each renewal year utilizing the same service-level trend information used to develop factor G'.

- 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 State utilized detailed statewide SFY 2015 fee-for-service (FFS) and SFY 2014 encounter claims data, as required in the instructions for Appendix J, to identify individuals meeting the institutional and additional criteria for the TBI waiver.

For the Nursing Facility level of care, the State worked with our actuaries to identify adult patients (defined as greater than or equal to age 22) with at least one Nursing Facility claim in SFY 2015 with a TBI diagnosis code associated with it. The TBI diagnosis codes were defined as ICD-9 codes 800.0-801.9, 803.0-804.9, 850.0-854.1. Nursing Facility service costs from SFY 2015 FFS and trended SFY 2014 encounter data for the identified individuals were included in Factor G.

The State does not currently have a Chronic Hospital or Rehabilitation Hospital level of care at which this population is accessing services. As such, the Specialty Rehabilitation Hospital level of care was estimated based on individuals utilizing services at Black Mountain Intermediate Care Facility (ICF), as the State expects the cost and utilization levels are similar for individuals with TBI if this level of care was available in the State.

All claims were summarized for adult individuals who had at least one paid claim at Black Mountain ICF during SFY 2015 and weren't currently covered by the Innovations waiver or already included within the estimate for the Nursing Facility level of care. Trended SFY 2014 encounter data was also included for the identified individuals. ICF service costs from SFY 2015 FFS and trended SFY 2014 encounter data for the identified individuals were included in Factor G.

The cost per user figures for the Nursing Facility level of care and the Specialty Rehabilitation Hospital level of care were multiplied by the distribution of individuals in J-2-a to arrive at the weighted average Factor G for this waiver period.

Since utilization of Factor G Institutional level of care services that are expected to be replaced by the waiver services in waiver years 1-5 are per user estimates, the State does not expect growth in the length of stay and did not include future utilization

growth in the Factor G development. Unit cost was trended at 1.0% annually for waiver projection years 1–5. This level of trend is consistent with the unit cost component of trend assumed in recent statewide capitation rate development for the ICF category of service.

- 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 of these estimates is as follows:

The State utilized detailed statewide SFY 2015 FFS and SFY 2014 encounter claims data, as required in the instructions for Appendix J, to identify individuals meeting the institutional and additional criteria for the TBI waiver.

For the Nursing Facility level of care, the State worked with our actuaries to identify adult patients (defined as greater than or equal to age 22) with at least one Nursing Facility claim in SFY 2015 with a TBI diagnosis code associated with it. The TBI diagnosis codes were defined as ICD-9 codes 800.0-801.9, 803.0-804.9, 850.0-854.1. All other non-Nursing Facility service costs from SFY 2015 FFS and trended SFY 2014 encounter data for the identified individuals were included in Factor G'.

As noted, the State does not currently have a Chronic Hospital or Rehabilitation Hospital level of care at which this population is accessing services. As such, the State worked with our actuaries to identify the non-ICF State Plan services for Black Mountain clients to serve as G' for the Specialty Rehabilitation Hospital level of care. All other non-ICF service costs from SFY 2015 FFS and trended SFY 2014 encounter data for the identified individuals were included in Factor G'.

The cost per user figures for other State Plan services utilized by the Nursing Facility level of care and the Specialty Rehabilitation Hospital level of care clients were multiplied by the distribution of individuals in J-2-a to arrive at the weighted average Factor G' for this waiver period.

Since utilization of Factor G' services in waiver years 1–5 are per user estimates, Mercer did not include future utilization growth in the estimates. Unit cost was trended at 1.0% annually for waiver projection years 1–5. This level of trend is consistent with the unit cost component of trend assumed in recent statewide capitation rate development.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 7)

Component management for waiver services. If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select “*manage components*” to add these components.

Waiver Services	
Adult Day Health	
Day Supports	
Personal Care	
Residential Supports	
Respite	
Supported Employment	
Extended State Plan service: OT, PT, SLP	
Assistive Technology	
Cognitive Rehabilitation (CR)	
Community Networking	
Community Transistion	
Crisis Supports Services	
Home Modifications	
In Home Intensive Support	
Life Skills Training	

Waiver Services	
Natural Supports Education	
Resource Facilitation	
Specialized Consultation	
Vehicle Modifications	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 7)

d. Estimate of Factor D.

ii. **Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932 (a), Section 1937).** Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:							19451.88
Adult Day Health	<input checked="" type="checkbox"/>	Day	3	166.00	39.06	19451.88	
Day Supports Total:							480449.20
Day Supports	<input checked="" type="checkbox"/>	15-minute	22	4105.00	5.32	480449.20	
Personal Care Total:							267763.20
Personal Care	<input checked="" type="checkbox"/>	15-minute	19	3840.00	3.67	267763.20	
Residential Supports Total:							246426.40
Residential Supports	<input checked="" type="checkbox"/>	Day	5	328.00	150.26	246426.40	
Respite Total:							77220.90
Respite	<input checked="" type="checkbox"/>	15-minute	18	1195.00	3.59	77220.90	
Supported Employment Total:							75012.00
Supported Employment	<input checked="" type="checkbox"/>	15-minute	7	1410.00	7.60	75012.00	
Extended State Plan service: OT, PT, SLP Total:							73296.63
Extended State Plan service: OT, PT, SLP	<input checked="" type="checkbox"/>	15-minute	9	319.00	25.53	73296.63	
Assistive Technology Total:							
GRAND TOTAL:							2425615.15
Total: Services included in capitation:							2425615.15
Total: Services not included in capitation:							
Total Estimated Unduplicated Participants:							49
Factor D (Divide total by number of participants):							49502.35
Services included in capitation:							49502.35
Services not included in capitation:							
Average Length of Stay on the Waiver:							343

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
							1172.64
Assistive Technology	<input checked="" type="checkbox"/>	Event	1	16.00	73.29	1172.64	
Cognitive Rehabilitation (CR) Total:							115514.88
Cognitive Rehabilitation (CR)	<input checked="" type="checkbox"/>	15-minute	24	356.00	13.52	115514.88	
Community Networking Total:							91343.70
Community Networking	<input checked="" type="checkbox"/>	15-minute	10	1701.00	5.37	91343.70	
Community Transistion Total:							23415.30
Community Transistion	<input checked="" type="checkbox"/>	Event	6	1.00	3902.55	23415.30	
Crisis Supports Services Total:							3289.50
Crisis Supports Services	<input checked="" type="checkbox"/>	15-minute	1	85.00	38.70	3289.50	
Home Modifications Total:							9047.61
Home Modifications	<input checked="" type="checkbox"/>	Event	1	1.00	9047.61	9047.61	
In Home Intensive Support Total:							18791.17
In Home Intensive Support	<input checked="" type="checkbox"/>	15-minute	1	3923.00	4.79	18791.17	
Life Skills Training Total:							899440.08
Life Skills Training	<input checked="" type="checkbox"/>	15-minute	34	4908.00	5.39	899440.08	
Natural Supports Education Total:							3913.00
Natural Supports Education	<input checked="" type="checkbox"/>	Event	2	182.00	10.75	3913.00	
Resource Facilitation Total:							7169.68
Resource Facilitation	<input checked="" type="checkbox"/>	Month	7	7.00	146.32	7169.68	
Specialized Consultation Total:							2050.00
Specialized Consultation	<input checked="" type="checkbox"/>	15-minute	2	41.00	25.00	2050.00	
Vehicle Modifications Total:							10847.38
Vehicle Modifications	<input checked="" type="checkbox"/>	Event	1	1.00	10847.38	10847.38	
GRAND TOTAL:							2425615.15
Total: Services included in capitation:							2425615.15
Total: Services not included in capitation:							
Total Estimated Unduplicated Participants:							49
Factor D (Divide total by number of participants):							49502.35
Services included in capitation:							49502.35
Services not included in capitation:							
Average Length of Stay on the Waiver:							343

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 7)

d. Estimate of Factor D.

ii. Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932 (a), Section 1937). Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:							45620.12
Adult Day Health	<input checked="" type="checkbox"/>	Day	7	166.00	39.26	45620.12	
Day Supports Total:							1010240.50
Day Supports	<input checked="" type="checkbox"/>	15-minute	46	4105.00	5.35	1010240.50	
Personal Care Total:							538444.80
Personal Care	<input checked="" type="checkbox"/>	15-minute	38	3840.00	3.69	538444.80	
Residential Supports Total:							495312.80
Residential Supports	<input checked="" type="checkbox"/>	Day	10	328.00	151.01	495312.80	
Respite Total:							159616.15
Respite	<input checked="" type="checkbox"/>	15-minute	37	1195.00	3.61	159616.15	
Supported Employment Total:							150813.60
Supported Employment	<input checked="" type="checkbox"/>	15-minute	14	1410.00	7.64	150813.60	
Extended State Plan service: OT, PT, SLP Total:							155525.26
Extended State Plan service: OT, PT, SLP	<input checked="" type="checkbox"/>	15-minute	19	319.00	25.66	155525.26	
Assistive Technology Total:							3535.68
Assistive Technology	<input checked="" type="checkbox"/>	Event	3	16.00	73.66	3535.68	
Cognitive Rehabilitation (CR) Total:							237063.96
Cognitive Rehabilitation (CR)	<input checked="" type="checkbox"/>	15-minute	49	356.00	13.59	237063.96	
							183708.00
GRAND TOTAL:							4961455.21
Total: Services included in capitation:							4961455.21
Total: Services not included in capitation:							
Total Estimated Unduplicated Participants:							99
Factor D (Divide total by number of participants):							50115.71
Services included in capitation:							50115.71
Services not included in capitation:							
Average Length of Stay on the Waiver:							343

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Community Networking Total:							
Community Networking	<input checked="" type="checkbox"/>	15-minute	20	1701.00	5.40	183708.00	
Community Transistion Total:							50986.78
Community Transistion	<input checked="" type="checkbox"/>	Event	13	1.00	3922.06	50986.78	
Crisis Supports Services Total:							28805.65
Crisis Supports Services	<input checked="" type="checkbox"/>	15-minute	1	85.00	338.89	28805.65	
Home Modifications Total:							9092.85
Home Modifications	<input checked="" type="checkbox"/>	Event	1	1.00	9092.85	9092.85	
In Home Intensive Support Total:							18869.63
In Home Intensive Support	<input checked="" type="checkbox"/>	15-minute	1	3923.00	4.81	18869.63	
Life Skills Training Total:							1835493.84
Life Skills Training	<input checked="" type="checkbox"/>	15-minute	69	4908.00	5.42	1835493.84	
Natural Supports Education Total:							7862.40
Natural Supports Education	<input checked="" type="checkbox"/>	Event	4	182.00	10.80	7862.40	
Resource Facilitation Total:							15440.25
Resource Facilitation	<input checked="" type="checkbox"/>	Month	15	7.00	147.05	15440.25	
Specialized Consultation Total:							4121.32
Specialized Consultation	<input checked="" type="checkbox"/>	15-minute	4	41.00	25.13	4121.32	
Vehicle Modifications Total:							10901.62
Vehicle Modifications	<input checked="" type="checkbox"/>	Event	1	1.00	10901.62	10901.62	
GRAND TOTAL:							4961455.21
Total: Services included in capitation:							4961455.21
Total: Services not included in capitation:							
Total Estimated Unduplicated Participants:							99
Factor D (Divide total by number of participants):							50115.71
Services included in capitation:							50115.71
Services not included in capitation:							
Average Length of Stay on the Waiver:							343

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 7)

d. Estimate of Factor D.

ii. Concurrent §1915(b)/§1915(c) Waivers, or other authorities utilizing capitated arrangements (i.e., 1915(a), 1932 (a), Section 1937). Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. If applicable, check the capitation box next

to that service. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health Total:							45852.52
Adult Day Health	<input checked="" type="checkbox"/>	Day	7	166.00	39.46	45852.52	
Day Supports Total:							1104245.00
Day Supports	<input checked="" type="checkbox"/>	15-minute	50	4105.00	5.38	1104245.00	
Personal Care Total:							598348.80
Personal Care	<input checked="" type="checkbox"/>	15-minute	42	3840.00	3.71	598348.80	
Residential Supports Total:							547586.16
Residential Supports	<input checked="" type="checkbox"/>	Day	11	328.00	151.77	547586.16	
Respite Total:							173514.00
Respite	<input checked="" type="checkbox"/>	15-minute	40	1195.00	3.63	173514.00	
Supported Employment Total:							162432.00
Supported Employment	<input checked="" type="checkbox"/>	15-minute	15	1410.00	7.68	162432.00	
Extended State Plan service: OT, PT, SLP Total:							172767.21
Extended State Plan service: OT, PT, SLP	<input checked="" type="checkbox"/>	15-minute	21	319.00	25.79	172767.21	
Assistive Technology Total:							4737.92
Assistive Technology	<input checked="" type="checkbox"/>	Event	4	16.00	74.03	4737.92	
Cognitive Rehabilitation (CR) Total:							257736.88
Cognitive Rehabilitation (CR)	<input checked="" type="checkbox"/>	15-minute	53	356.00	13.66	257736.88	
Community Networking Total:							203201.46
Community Networking	<input checked="" type="checkbox"/>	15-minute	22	1701.00	5.43	203201.46	
Community Transistion Total:							55183.38
Community Transistion	<input checked="" type="checkbox"/>	Event	14	1.00	3941.67	55183.38	
GRAND TOTAL:							5376995.64
Total: Services included in capitation:							5376995.64
Total: Services not included in capitation:							
Total Estimated Unduplicated Participants:							107
Factor D (Divide total by number of participants):							50252.30
Services included in capitation:							50252.30
Services not included in capitation:							
Average Length of Stay on the Waiver:							343

Waiver Service/ Component	Capitation	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Crisis Supports Services Total:							3321.80
Crisis Supports Services	<input checked="" type="checkbox"/>	15-minute	1	85.00	39.08	3321.80	
Home Modifications Total:							9138.31
Home Modifications	<input checked="" type="checkbox"/>	Event	1	1.00	9138.31	9138.31	
In Home Intensive Support Total:							18948.09
In Home Intensive Support	<input checked="" type="checkbox"/>	15-minute	1	3923.00	4.83	18948.09	
Life Skills Training Total:							1979396.40
Life Skills Training	<input checked="" type="checkbox"/>	15-minute	74	4908.00	5.45	1979396.40	
Natural Supports Education Total:							7898.80
Natural Supports Education	<input checked="" type="checkbox"/>	Event	4	182.00	10.85	7898.80	
Resource Facilitation Total:							16552.48
Resource Facilitation	<input checked="" type="checkbox"/>	Month	16	7.00	147.79	16552.48	
Specialized Consultation Total:							5178.30
Specialized Consultation	<input checked="" type="checkbox"/>	15-minute	5	41.00	25.26	5178.30	
Vehicle Modifications Total:							10956.13
Vehicle Modifications	<input checked="" type="checkbox"/>	Event	1	1.00	10956.13	10956.13	
GRAND TOTAL:							5376995.64
Total: Services included in capitation:							5376995.64
Total: Services not included in capitation:							
Total Estimated Unduplicated Participants:							107
Factor D (Divide total by number of participants):							50252.30
Services included in capitation:							50252.30
Services not included in capitation:							
Average Length of Stay on the Waiver:							343