Application for a §1915 (c) HCBS Waiver

HCBS Waiver Application Version 3.6

Includes Changes Implemented through January 2019

Submitted by:

Submission Date:	

CMS Receipt Date *(CMS Use)*	

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 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.

1. Request Information

A. The **State** of **Utah** 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*): Community Transitions Waiver

C. **Type of Request:** *(the system will automatically populate new, amendment, or renewal)*

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

○	**3 years**
X	**5 years**

☐	**New to replace waiver** Replacing Waiver Number:		
	Base Waiver Number:	UT.1666.R00.07	
	Amendment Number (if applicable):		
	Effective Date: (mm/dd/yy)		

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

○	**Model Waiver**
X	**Regular Waiver**

E. **Proposed Effective Date:** 07/01/25

Approved Effective Date *(CMS Use)*:

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

☐	**Hospital** *(select applicable level of care)*	
	○	**Hospital as defined in 42 CFR §440.10** If applicable, specify whether the state additionally limits the waiver to subcategories of the hospital level of care:

	○	**Inpatient psychiatric facility for individuals under age 21 as provided in 42 CFR § 440.160**
☐	**Nursing Facility** *(select applicable level of care)*	
	○	**Nursing Facility as defined in 42 CFR §440.40 and 42 CFR §440.155** If applicable, specify whether the state additionally limits the waiver to subcategories of the nursing facility level of care:
	○	**Institution for Mental Disease for persons with mental illnesses aged 65 and older as provided in 42 CFR §440.140**
X	**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 facility level of care:	
	The waiver is limited to individuals moving from intermediate care facilities into community based services.	

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

Select one:

1	**Not applicable**
○	**Applicable**
	Check the applicable authority or authorities:
☐	**Services furnished under the provisions of §1915(a)(1)(a) of the Act and described in Appendix I**
☐	**Waiver(s) authorized under §1915(b) of the Act.** *Specify the §1915(b) waiver program and indicate whether a §1915(b) waiver application has been submitted or previously approved:*
	Specify the §1915(b) authorities under which this program operates (*check each that applies*):
	☐ §1915(b)(1) (mandated enrollment to managed care) ☐ §1915(b)(3) (employ cost savings to furnish additional services)
	☐ §1915(b)(2) (central broker) ☐ §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:

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

2. Brief Waiver Description

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

The purpose of the Community Transitions Waiver (CTW) is to offer supportive services to individuals who are moving out of intermediate care facilities for individuals with intellectual disabilities (ICF/ID). Waiver services are intended to assist participants to live as independently and productively as possible while living in a community setting of their choice.

The Department of Health and Human Services, Division of Medicaid and Health Financing is the Administrative Agency for this waiver, and the Department of Health and Human Services, Division of Services for People with Disabilities (DSPD) is the operating agency. The functions of the both of these agencies are specified in Appendix A of this application. DSPD utilizes an array of service providers in the community that comprise the direct service workforce for this population.

The CTW offers both provider-managed and participant-directed service delivery methods.

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)*:

X	**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**
X	**Yes**

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

X	**No**
○	**Yes**

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

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

5. Assurances

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

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

1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;
2. Assurance that the standards of any state licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The state assures that these requirements are met on the date that the services are furnished; and,
3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable state standards for board and care facilities as specified in **Appendix C**.

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

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

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

1. Informed of any feasible alternatives under the waiver; and,
2. Given the choice of either institutional or home and community-based waiver services.

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

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

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

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

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

I. Habilitation Services. The state assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Improvement Act of 2004 (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.

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

6. Additional Requirements

Note: Item 6-I must be completed.

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

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

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

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

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

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

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

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

During the period that the waiver is in effect, the state will implement the Quality Improvement Strategy specified throughout the application and in **Appendix H**.

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

To be updated at a later date

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 as 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:	Ambrenac				
First Name:	Josip				
Title:	Director, Office of Long Term Services and Supports				
Agency:	Utah Department of Health and Human Services				
Address :	288 N 1460 W				
Address 2:	PO Box 143101				
City:	Salt Lake City				
State:	Utah				
Zip:	84114				
Phone:	(385) 251-5541	**Ext:**		☐	**TTY**
Fax:	(801) 323-1588				
E-mail:	jambrena@utah.gov				

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

Last Name:	Pinna				
First Name:	Angie				
Title:	Division Director				
Agency:	Department of Health and Human Services, Division of Services for People with Disabilities				
Address:	288 N 1460 W				
Address 2:					
City:	Salt Lake City				
State:					
Zip :	84114				
Phone:	(801) 448-1782	**Ext:**		☐	**TTY**
Fax:	(801) 538-4279				
E-mail:	apinna@utah.gov				

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: Brian Roach_________________________________

State Medicaid Director or Designee

Submission Date:	**Jan 17, 2024**

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

Last Name:	Strohecker				
First Name:	Jennifer				
Title:	Director, Division of Integrated Healthcare				
Agency:	Utah Department of Health and Human Services				
Address:	288 N 1460 W				
Address 2:					
City:	Salt Lake City				
State:	Utah				
Zip:	84114				
Phone:	(801) 538-6293	**Ext:**		☐	**TTY**
Fax:	(801) 538-6860				
E-mail:	jstrohecker@utah.gov				

Attachment #1: Transition Plan

Specify the transition plan for the waiver:

Not applicable.

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

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

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

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

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

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

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

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

Appendix A: Waiver Administration and Operation

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

○	The waiver is operated by the state Medicaid agency. Specify the Medicaid agency division/unit that has line authority for the operation of the waiver program (*select one)*:		
	○	The Medical Assistance Unit *(specify the unit name) (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)*	
X	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:		
	Utah Department of Health and Human Services, Division of Services for People with Disabilities		
	In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the waiver and issues policies, rules and regulations related to the waiver. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this policy is available through the Medicaid agency to CMS upon request. (*Complete item A-2-b).*		

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.

State:	
Effective Date	

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:

An interagency agreement between the State Medicaid Agency (SMA) and the Division of Services for People with Disabilities (DSPD) sets forth the respective responsibilities for the administration and operation of this waiver. This agreement runs for five year periods, but can be amended as needed.

The agreement delineates the SMA's overall responsibility to provide management and oversight of the waiver, as well as DSPD's operational and administrative functions.

The responsibilities of the operating agency are delegated as follows. Most of the responsibilities are shared with the SMA:

1. Program Development
2. Rate Setting and Fiscal Accountability
3. Program Coordination, Education and Outreach
4. HCBS Waiver Staffing Assurances
5. Eligibility Determination and Waiver Participation Assurances
6. Waiver Participant Participation in Decision Making
7. Hearings and Appeals
8. Monitoring, Quality Assurances and Quality Improvement
9. Reports

The SMA monitors the interagency agreement through a variety of quality assurance activities, provides ongoing technical assistance, and reviews and approves all rules, regulations and policies that govern waiver operations. There is a focused program review conducted annually by the SMA Quality Assurance Team. If ongoing or formal annual reviews conducted by the Quality Assurance Team reveal concerns with compliance DSPD is required to develop plans of correction within specific time frames to correct the problems. The SMA Quality Assurance Team conducts follow up activities to ensure that corrections are sustaining.

Oversight of delegated functions listed in 7. occur on at least an annual basis, or more frequently as indicated by quality assurance reporting, audits, critical incident reports, etc.

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.*

State:	
Effective Date	

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

State:	
Effective Date	

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)*:

X	**Not applicable**	
○	**Applicable** - Local/regional non-state agencies perform waiver operational and administrative functions. Check each that applies:	
	☐	**Local/Regional non-state public agencies** conduct waiver operational and administrative functions at the local or regional level. There is an **interagency agreement or memorandum of understanding** between the Medicaid agency and/or the operating agency (when authorized by the Medicaid agency) and each local/regional non-state agency that sets forth the responsibilities and performance requirements of the local/regional agency. The interagency agreement or memorandum of understanding is available through the Medicaid agency or the operating agency (if applicable). *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*:

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:

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:

State:	
Effective Date	

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

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

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

State:	
Effective Date	

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:	*# & % of applicants denied access to the waiver following the initial LoC eval who were provided timely notice of appeal rights. Numerator is the total # of applicants who were denied waiver access after the initial LoC and received a timely notice of appeal rights at least 10 days before the date of action; denominator is the total # of applicants denied waiver access after the initial LoC*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
DSPD application denial records and Participant records			
	Responsible Party for data collection/generation	***Frequency of data collection/generation:***	***Sampling Approach*** *(check each that applies)*

State:	
Effective Date	

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

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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 SMA demonstrates ultimate administrative authority and responsibility for the operation of the Community Transitions Waiver program through numerous activities including the issuance of Community Transitions Waiver provider agreement approvals as well as the review of the following: applicants denied entry to the Community Transitions Waiver to determine if timely appeal rights were

provided and participants who have had a reduction/denial of a waiver service, been denied choice of provider if more than one was available or been determined ineligible when previously receiving services to determine if timely notice of appeal rights were provided. The SMA also conducts quarterly meetings with staff from DSPD, monitors compliance with the interagency Memorandum of Agreement, conducts annual quality assurance reviews of the Community Transitions Waiver program and provides technical assistance to DSPD and other entities within the state that affect the operation of the waiver program.

In Addition, waiver participants, members of the public, and stakeholders may submit concerns to SMA or OA, both of which have representatives designated to respond to concerns.

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 SMA demonstrates ultimate administrative authority and responsibility for the operation of the Community Transitions Waiver program through numerous activities including the issuance of Community Transitions Waiver provider agreement approvals as well as the review of the following: applicants denied entry to the Community Transitions Waiver to determine if timely appeal rights were provided and participants who have had a reduction/denial of a waiver service, been denied choice of provider if more than one was available or been determined ineligible when previously receiving services to determine if timely notice of appeal rights were provided. The SMA also conducts quarterly meetings with staff from DSPD, monitors compliance with the interagency Memorandum of Agreement, conducts annual quality assurance reviews of the Community Transitions Waiver program and provides technical assistance to DSPD and other entities within the state that affect the operation of the waiver program.

In Addition, waiver participants, members of the public, and stakeholders may submit concerns to SMA or OA, both of which have representatives designated to respond to concerns.

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)*
	X State Medicaid Agency	*☐ Weekly*
	☐ Operating Agency	*☐ Monthly*
	☐ Sub-State Entity	*☐ Quarterly*

State:	
Effective Date	

	☐ *Other Specify:*	*X Annually*
		☐ *Continuously and Ongoing*
		☐ *Other Specify:*

c. Timelines

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

X	**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

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

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

Select one Waiver Target Group		Target Group/Subgroup	Minimum Age	Maximum Age: Maximum Age Limit: Through Age –	Maximum Age: No Maximum Age Limit
▯	**Aged or Disabled, or Both - General**				
	▯	Aged (age 65 and older)			▯
	☐	Disabled (Physical)			
	☐	Disabled (Other)			
☐	**Aged or Disabled, or Both - Specific Recognized Subgroups**				
	☐	Brain Injury			▯
	☐	HIV/AIDS			☐
	☐	Medically Fragile			☐
	☐	Technology Dependent			☐
X	**Intellectual Disability or Developmental Disability, or Both**				
	X	Autism	0		X
	X	Developmental Disability	0		X
	X	Intellectual Disability	0		X
☐	**Mental Illness** *(check each that applies)*				
	☐	Mental Illness			☐
	☐	Serious Emotional Disturbance			

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

Waiver services are limited to individuals, moving from a Utah Intermediate Care Facility (ICF), with the following disease(s) or condition(s)

1. Must have a diagnosis of intellectual disability as per 42 CFR 483.102(b)(3) or a condition closely related to intellectual disability as per 42CFR435.1010.
2. In addition, individuals served in this waiver program must also demonstrate substantial functional limitations in three or more areas of major life activity as described in R414-502-8.
3. Conditions closely related to intellectual disabilities do not include individuals whose functional limitations are due solely to mental illness, substance abuse, personality disorder, hearing impairment, visual impairment, learning disabilities, behavior disorders, physical problems, borderline intellectual functioning, communication or language disorders, aging process, terminal illnesses, or developmental disabilities that do not result in an intellectual impairment.

4. This waiver is limited to persons with disabilities who have established eligibility for State matching funds through the Utah Department of Health and Human Services in accordance with UCA 62A-5
5. Individuals may be admitted to the CTW from other waiver programs when in need of Professional Nursing Services due to chronic conditions which State Plan services are unable to support.

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)*:

X	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*:

State:	
Effective Date	

Appendix B-2: Individual Cost Limit

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:

X	**No Cost Limit**. The state does not apply an individual cost limit. *Do not complete Item B-2-b or Item B-2-c.*
◯	**Cost Limit in Excess of Institutional Costs.** The state refuses entrance to the waiver to any otherwise eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed the cost of a level of care specified for the waiver up to an amount specified by the state. *Complete Items B-2-b and B-2-c.* The limit specified by the state is *(select one)*:
	◯ **%** — A level higher than 100% of the institutional average. Specify the percentage:
	◯ Other *(specify)*:
◯	**Institutional Cost Limit**. Pursuant to 42 CFR 441.301(a)(3), the state refuses entrance to the waiver to any otherwise eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed 100% of the cost of the level of care specified for the waiver. *Complete Items B-2-b and B-2-c.*
◯	**Cost Limit Lower Than Institutional Costs**. The state refuses entrance to the waiver to any otherwise qualified individual when the state reasonably expects that the cost of home and community-based services furnished to that individual would exceed the following amount specified by the state that is less than the cost of a level of care specified for the waiver. *Specify the basis of the limit, including evidence that the limit is sufficient to assure the health and welfare of waiver participants. Complete Items B-2-b and B-2-c.*
	The cost limit specified by the state is *(select one)*:
	◯ **The following dollar amount**: Specify dollar amount:
	The dollar amount *(select one)*:
	◯ **Is adjusted each year that the waiver is in effect by applying the following formula:** Specify the formula:
	◯ **May be adjusted during the period the waiver is in effect. The state will submit a waiver amendment to CMS to adjust the dollar amount.**

State:	
Effective Date	

◯	**The following percentage that is less than 100% of the institutional average:**
◯	**Other:** *Specify:*

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

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

☐	**The participant is referred to another waiver that can accommodate the individual's needs.**
☐	**Additional services in excess of the individual cost limit may be authorized.** Specify the procedures for authorizing additional services, including the amount that may be authorized:
☐	**Other safeguard(s)** *(Specify)*:

State:	
Effective Date	

Appendix B-3: Number of Individuals Served

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	550150
Year 2	570580175550
Year 3	590610200550
Year 4 (only appears if applicable based on Item 1-C)	6140225550
Year 5 (only appears if applicable based on Item 1-C)	6370250550

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)*:

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

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

Table B-3-b	
Waiver Year	**Maximum Number of Participants Served At Any Point During the Year**
Year 1	
Year 2	
Year 3	
Year 4 (only appears if applicable based on Item 1-C)	
Year 5 (only appears if applicable based on Item 1-C)	

State:	
Effective Date	

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.**
X	**The state reserves capacity for the following purpose(s).** Purpose(s) the state reserves capacity for:

Table B-3-c

	Purpose (provide a title or short description to use for lookup):	**Purpose** (provide a title or short description to use for lookup):
	Waiver participants requiring Professional Nursing Services support.	
	Purpose (describe):	**Purpose** (describe):
	Individuals currently receiving services funded by the Division of Services for People with Disabilities (DSPD), meetings CTW target criteria, and are experiencing an inpatient hospitalization or are at imminent risk for institutionalization based on acute onset of a condition that requires professional nursing services.	
	Describe how the amount of reserved capacity was determined:	**Describe how the amount of reserved capacity was determined:**
	Estimates based on cases that require high level staffing between the SMA and OA.	
Waiver Year	**Capacity Reserved**	**Capacity Reserved**
Year 1	20	
Year 2	20	
Year 3	20	

	Year 4 (only if applicable based on Item 1-C)	20	
	Year 5 (only if applicable based on Item 1-C)	20	

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

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

e. Allocation of Waiver Capacity.

Select one:

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

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

If a person is eligible for more than one of Utah's HCBS waivers the SMA and DSPD will educate the individual about their choices and will advise the individual about which of the waivers will likely best meet their needs.

UT Admin Code R414-510 (3) ~~and (4)~~ describes the entrance of individuals to the program:

R414-510-3. Eligibility Requirements for the Transition Program.
Waiver services are available to an individual who:
(1) receives ICF benefits under the Medicaid State Plan;
(2) has been diagnosed with an intellectual disability or a related condition;
(3) meets ICF level of care criteria defined in Section R414-502-8;
(4) meets state funding eligibility criteria for the Division of Services for People with Disabilities (DSPD) found in Subsection 26B-6-402(6)~~62A-5-102(4)~~; and
(5) has at least a 12-month length of stay in any Medicaid-certified, privately owned ICF or nursing facility located in the state.

~~R414-510-4-4(c) If an individual is selected for the Transition Program and has a spouse who also resides in a Utah ICF and who meets the eligibility criteria in Section R414-510-3, the Department shall include the spouse in the Transition Program that same year.~~

Break in stay exceptions to ~~T~~the 12-month length of stay requirement listed in R414-510-3(e)~~-5~~ may be made~~waived~~ as specified in R414-510-3(2)-(3) including when there is an ~~for~~inpatient

hospitalization, closure of an ICF where an individual resides and/or there are substantiated findings of abuse, neglect or exploitation that occurred while residing in the current ICF and for. individuals who are required to discharge from a facility due to the closure of the facility..

State:	
Effective Date	

B-3: Number of Individuals Served - Attachment #1

Waiver Phase-In/Phase Out Schedule

Based on Waiver Proposed Effective Date:

a. The waiver is being *(select one)*:

◯	Phased-in
◯	Phased-out

b. **Phase-In/Phase-Out Time Schedule.** Complete the following table:

Beginning (base) number of Participants:

Phase-In or Phase-Out Schedule			
Waiver Year:			
Month	Base Number of Participants	Change in Number of Participants	Participant Limit

c. **Waiver Years Subject to Phase-In/Phase-Out Schedule** *(check each that applies)*:

Year One	Year Two	Year Three	Year Four	Your Five
☐	☐	☐	☐	☐

State:	
Effective Date	

d. **Phase-In/Phase-Out Time Period**. *Complete the following table:*

	Month	Waiver Year
Waiver Year: First Calendar Month		
Phase-in/Phase out begins		
Phase-in/Phase out ends		

State:	
Effective Date	

Appendix B-4: Medicaid Eligibility Groups Served in the Waiver

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

◯	§1634 State
X	SSI Criteria State
◯	209(b) State

2. Miller Trust State.

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

X	No
◯	Yes

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

Eligibility Groups Served in the Waiver (excluding the special home and community-based waiver group under 42 CFR §435.217)			
☐	Low income families with children as provided in §1931 of the Act		
X	SSI recipients		
☐	Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121		
X	Optional state supplement recipients		
X	Optional categorically needy aged and/or disabled individuals who have income at: *(select one)*		
	X	100% of the Federal poverty level (FPL)	
	◯	%	of FPL, which is lower than 100% of FPL Specify percentage:
X	Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII)) of the Act)		
☐	Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)		
☐	Working individuals with disabilities who buy into Medicaid (TWWIIA Medical Improvement Coverage Group as provided in §1902(a)(10)(A)(ii)(XVI) of the Act)		
☐	Disabled individuals age 18 or younger who would require an institutional level of care (TEFRA 134 eligibility group as provided in §1902(e)(3) of the Act)		
X	Medically needy in 209(b) States (42 CFR §435.330)		
X	Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)		
X	Other specified groups (include only the statutory/regulatory reference to reflect the additional groups in the state plan that may receive services under this waiver) *specify*:		

State:	
Effective Date	

	42 CFR 435.135 1634(c)/1634(d) 1619(b)

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.
X	**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
X	Only the following groups of individuals in the special home and community-based waiver group under 42 CFR §435.217 *(check each that applies)*:

X	A special income level equal to (select one):

X	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 percentage:

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

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

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

Appendix B-5: Post-Eligibility Treatment of Income

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

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

Note: For the five-year period beginning January 1, 2014, the following instructions are mandatory. The following box should be checked for all waivers that furnish waiver services to the 42 CFR §435.217 group effective at any point during this time period.

X	Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group. In the case of a participant with a community spouse, the state uses *spousal* post-eligibility rules under §1924 of the Act. *Complete Items B-5-e (if the selection for B-4-a-i is SSI State or §1634) or B-5-f (if the selection for B-4-a-i is 209b State) and Item B-5-g unless the state indicates that it also uses spousal post-eligibility rules for the time periods before January 1, 2014 or after December 31, 2018.*

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

X		Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group. In the case of a participant with a community spouse, the state elects to (*select one*):
	X	Use *spousal* post-eligibility rules under §1924 of the Act. *Complete ItemsB-5-b-2 (SSI State and §1634) or B-5-c-2 (209b State) and Item B-5-d.*
	◯	Use *regular* post-eligibility rules under 42 CFR §435.726 (SSI State and §1634) (*Complete Item B-5-b-1*) or under §435.735 (209b State) (*Complete Item B-5-c-1). Do not complete Item B-5-d.*
◯		Spousal impoverishment rules under §1924 of the Act are not used to determine eligibility of individuals with a community spouse for the special home and community-based waiver group. The state uses regular post-eligibility rules for individuals with a community spouse. *Complete Item B-5-c-1 (SSI State and §1634) or Item B-5-d-1 (209b State). Do not complete Item B-5-d.*

NOTE: Items B-5-b-1 and B-5-c-1 are for use by states that do not use spousal eligibility rules or use spousal impoverishment eligibility rules but elect to use regular post-eligibility rules. However, for the five-year period beginning on January 1, 2014, post-eligibility treatment-of-income rules may not be determined in accordance with B-5-b-1 and B-5-c-1, because use of spousal eligibility and post-eligibility rules are mandatory during this time period.

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

b-1. Regular Post-Eligibility Treatment of Income: SSI State. The state uses the post-eligibility rules at 42 CFR §435.726. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following allowances and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (*select one*):			
X	The following standard included under the state plan *(Select one):*		
	◯	**SSI standard**	
	◯	**Optional state supplement standard**	
	◯	**Medically needy income standard**	
	X	**The special income level for institutionalized persons** *(select one):*	
		X	**300% of the SSI Federal Benefit Rate (FBR)**
		◯ %	**A percentage of the FBR, which is less than 300%** Specify the percentage:
		◯ $	**A dollar amount which is less than 300%.** Specify dollar amount:
	◯	%	A percentage of the Federal poverty level Specify percentage:
	◯	**Other standard included under the state Plan** Specify:	
◯	**The following dollar amount** Specify dollar amount:	$	If this amount changes, this item will be revised.
◯	**The following formula is used to determine the needs allowance:** Specify:		
◯	Other Specify:		
ii. Allowance for the spouse only (*select one*):			
X	**Not Applicable**		
Specify the amount of the allowance (*select one*):			
◯	**SSI standard**		
◯	**Optional state supplement standard**		
◯	**Medically needy income standard**		
◯	**The following dollar amount:** Specify dollar amount:	$	If this amount changes, this item will be revised.

◯	**The amount is determined using the following formula:** *Specify:*
iii. Allowance for the family *(select one)*:	
X	**Not Applicable** ***(see instructions)***
◯	**AFDC need standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** $ Specify dollar amount: The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
◯	**Other** *Specify:*
iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. Select one:	
X	**Not applicable** ***(see instructions)*** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*
◯	**The state does not establish reasonable limits.**
◯	**The state establishes the following reasonable limits** *Specify*:

State:	
Effective Date	

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

c-1. Regular Post-Eligibility Treatment of Income: 209(B) State. The state uses more restrictive eligibility requirements than SSI and uses the post-eligibility rules at 42 CFR §435.735. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following amounts and expenses from the waiver participant's income:

i. **Allowance for the needs of the waiver participant** (*select one*):				
◯	The following standard included under the state plan *(select one)*			
	◯	The following standard under 42 CFR §435.121 *Specify*:		
	◯	Optional state supplement standard		
	◯	Medically needy income standard		
	X	The special income level for institutionalized persons *(select one):*		
		◯	300% of the SSI Federal Benefit Rate (FBR)	
		◯	%	A percentage of the FBR, which is less than 300% Specify percentage:
		◯	$	A dollar amount which is less than 300% of the FBR Specify dollar amount:
	◯	%	A percentage of the Federal poverty level Specify percentage:	
	◯	Other standard included under the state Plan (specify):		
◯	The following dollar amount:	$	Specify dollar amount: If this amount changes, this item will be revised.	
◯	The following formula is used to determine the needs allowance *Specify*:			
◯	Other (specify)			
ii. **Allowance for the spouse only** (*select one*):				
◯	Not Applicable (see instructions)			
◯	The following standard under 42 CFR §435.121 *Specify:*			

◯	Optional state supplement standard		
◯	Medically needy income standard		
◯	The following dollar amount: Specify dollar amount:	$	If this amount changes, this item will be revised.
◯	The amount is determined using the following formula: *Specify:*		

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

◯	Not applicable *(see instructions)*
◯	AFDC need standard
◯	Medically needy income standard
◯	The following dollar amount: Specify dollar amount: $ The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
◯	The amount is determined using the following formula: *Specify:*
◯	Other (specify):

iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR §435.735:

a. Health insurance premiums, deductibles and co-insurance charges

b. Necessary medical or remedial care expenses recognized under state law but not covered under the State's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses.

Select one:

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

NOTE: Items B-5-b-2 and B-5-c-2 are for use by states that use spousal impoverishment eligibility rules *and* elect to apply the spousal post eligibility rules.

State:	
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Appendix B-5: 6

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

b-2. Regular Post-Eligibility Treatment of Income: SSI State. The state uses the post-eligibility rules at 42 CFR §435.726 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following allowances and expenses from the waiver participant's income:

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

- ○ The following standard included under the state plan *(Select one):*
  - ○ **SSI standard**
  - ○ **Optional state supplement standard**
  - ○ **Medically needy income standard**
  - ○ **The special income level for institutionalized persons** *(select one):*
    - ○ **300% of the SSI Federal Benefit Rate (FBR)**
    - ○ **A percentage of the FBR, which is less than 300%** Specify the percentage: ____ %
    - ○ **A dollar amount which is less than 300%.** Specify dollar amount: $ ____
  - ○ **A percentage of the Federal poverty level** Specify percentage: ____ %
  - ○ **Other standard included under the state Plan** Specify:
- ○ **The following dollar amount** Specify dollar amount: $ ____ If this amount changes, this item will be revised.
- ○ **The following formula is used to determine the needs allowance:** Specify:
- ○ **Other** Specify:

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

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

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Effective Date	

Specify the amount of the allowance (*select one*):			
◯	**SSI standard**		
◯	**Optional state supplement standard**		
◯	**Medically needy income standard**		
◯	**The following dollar amount:** Specify dollar amount:	$	If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*		

iii. Allowance for the family (*select one*):			
◯	**Not Applicable** ***(see instructions)***		
◯	**AFDC need standard**		
◯	**Medically needy income standard**		
◯	**The following dollar amount:** Specify dollar amount:	$	The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*		
◯	**Other** *Specify:*		

iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under State law but not covered under the State's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. Select one:	
◯	**Not applicable** ***(see instructions)*** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*
◯	**The state does not establish reasonable limits.**
◯	**The state establishes the following reasonable limits** *Specify*:

State:	
Effective Date	

State:	
Effective Date	

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

c-2. Regular Post-Eligibility Treatment of Income: 209(B) State. The state uses more restrictive eligibility requirements than SSI and uses the post-eligibility rules at 42 CFR §435.735 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following amounts and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (*select one*):			
○	The following standard included under the state plan *(Select one):*		
	○	**The following standard under 42 CFR §435.121:** *Specify:*	
	○	**Optional state supplement standard**	
	○	**Medically needy income standard**	
	○	**The special income level for institutionalized persons** *(select one):*	
		○ **300% of the SSI Federal Benefit Rate (FBR)**	
		○ %	**A percentage of the FBR, which is less than 300%** Specify the percentage:
		○ $	**A dollar amount which is less than 300%.** Specify dollar amount:
	○	%	**A percentage of the Federal poverty level** Specify percentage:
	○	**Other standard included under the state Plan** Specify:	
○	**The following dollar amount** Specify dollar amount:	$	If this amount changes, this item will be revised.
○	**The following formula is used to determine the needs allowance:** Specify:		
○	**Other** *Specify:*		

ii. Allowance for the spouse only (*select one*):	
○	**Not Applicable**

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◯	**The state provides an allowance for a spouse who does not meet the definition of a community spouse in §1924 of the Act. Describe the circumstances under which this allowance is provided:** *Specify:*
Specify the amount of the allowance (*select one*):	
◯	**The following standard under 42 CFR §435.121:** *Specify:*
◯	**Optional state supplement standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** Specify dollar amount: | $ | If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
iii. Allowance for the family (*select one*):	
◯	**Not Applicable** ***(see instructions)***
◯	**AFDC need standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** Specify dollar amount: | $ | The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
◯	**Other** *Specify:*
iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. Select one:	

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

State:	
Effective Date	

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

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

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

i. Allowance for the personal needs of the waiver participant *(select one)*:			
◯	**SSI Standard**		
◯	**Optional state supplement standard**		
◯	**Medically needy income standard**		
◯	**The special income level for institutionalized persons**		
◯	%	Specify percentage:	
◯	**The following dollar amount:**	$	If this amount changes, this item will be revised
◯	**The following formula is used to determine the needs allowance:** *Specify formula:*		
◯	**Other** *Specify*:		

ii. If the allowance for the personal needs of a waiver participant with a community spouse is different from the amount used for the individual's maintenance allowance under 42 CFR §435.726 or 42 CFR §435.735, explain why this amount is reasonable to meet the individual's maintenance needs in the community. Select one:	
X	**Allowance is the same**
◯	**Allowance is different.** *Explanation of difference:*

iii. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR §435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under state law but not covered under the State's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. *Select one:*	
X	**Not applicable (see instructions)** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*

◯	**The state does not establish reasonable limits.**
◯	**The state uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.**

NOTE: Items B-5-e, B-5-f and B-5-g only apply for the five-year period beginning January 1, 2014. If the waiver is effective during the five-year period beginning January 1, 2014, and if the state indicated in B-5-a that it uses spousal post-eligibility rules under §1924 of the Act before January 1, 2014 or after December 31, 2018, then Items B-5-e, B-5-f and/or B-5-g are not necessary. The state's entries in B-5-b-2, B-5-c-2, and B-5-d, respectively, will apply.

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

e. **Regular Post-Eligibility Treatment of Income: SSI State and §1634 State – 2014 through 2018.** The state uses the post-eligibility rules at 42 CFR §435.726 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following allowances and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (*select one*):			
◯	The following standard included under the state plan *(Select one)*:		
	◯	**SSI standard**	
	◯	**Optional state supplement standard**	
	◯	**Medically needy income standard**	
	◯	**The special income level for institutionalized persons** *(select one)*:	
		◯ **300% of the SSI Federal Benefit Rate (FBR)**	
		◯ %	**A percentage of the FBR, which is less than 300%** Specify the percentage:
		◯ $	**A dollar amount which is less than 300%.** Specify dollar amount:
	◯	%	**A percentage of the Federal poverty level** Specify percentage:
	◯	**Other standard included under the state Plan** Specify:	
◯	**The following dollar amount** Specify dollar amount:	$	If this amount changes, this item will be revised.
◯	**The following formula is used to determine the needs allowance:** Specify:		
◯	**Other** Specify:		

ii. Allowance for the spouse only (*select one*):	
◯	**Not Applicable**
◯	**The state provides an allowance for a spouse who does not meet the definition of a community spouse in §1924 of the Act. Describe the circumstances under which this allowance is provided:** *Specify:*
Specify the amount of the allowance (*select one*):	

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◯	**SSI standard**
◯	**Optional state supplement standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** Specify dollar amount: $ If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
iii. Allowance for the family *(select one)*:	
◯	**Not Applicable** ***(see instructions)***
◯	**AFDC need standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** Specify dollar amount: $ The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
◯	**Other** *Specify:*
iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. Select one:	
◯	**Not applicable** ***(see instructions)*** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*
◯	**The state does not establish reasonable limits.**
◯	**The state establishes the following reasonable limits** *Specify*:

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

f. **Regular Post-Eligibility: 209(b) State – 2014 through 2018**. The state uses more restrictive eligibility requirements than SSI and uses the post-eligibility rules at 42 CFR §435.735 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following amounts and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (*select one*):			
◯	The following standard included under the state plan *(Select one):*		
	◯	**The following standard under 42 CFR §435.121:** *Specify:*	
	◯	**Optional state supplement standard**	
	◯	**Medically needy income standard**	
	◯	**The special income level for institutionalized persons** *(select one):*	
		◯ **300% of the SSI Federal Benefit Rate (FBR)**	
		◯ %	**A percentage of the FBR, which is less than 300%** Specify the percentage:
		◯ $	**A dollar amount which is less than 300%.** Specify dollar amount:
	◯	%	**A percentage of the Federal poverty level** Specify percentage:
	◯	**Other standard included under the state Plan** Specify:	
◯	**The following dollar amount** Specify dollar amount:	$	If this amount changes, this item will be revised.
◯	**The following formula is used to determine the needs allowance:** Specify:		
◯	**Other** *Specify:*		

ii. Allowance for the spouse only (*select one*):	
◯	**Not Applicable**
◯	**The state provides an allowance for a spouse who does not meet the definition of a community spouse in §1924 of the Act. Describe the circumstances under which this allowance is provided:**

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	Specify:
Specify the amount of the allowance (*select one*):	
◯	**The following standard under 42 CFR §435.121:** *Specify:*
◯	**Optional state supplement standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** Specify dollar amount: | $ | If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
iii. <u>Allowance for the family</u> (*select one*):	
◯	**Not Applicable *(see instructions)***
◯	**AFDC need standard**
◯	**Medically needy income standard**
◯	**The following dollar amount:** $ Specify dollar amount: The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
◯	**The amount is determined using the following formula:** *Specify:*
◯	**Other** *Specify:*
iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. Select one:	
◯	**Not applicable *(see instructions)*** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*

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◯	**The state does not establish reasonable limits.**
◯	**The state establishes the following reasonable limits** *Specify*:

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).

i. <u>Allowance for the personal needs of the waiver participant</u> *(select one)*:			
◯	**SSI Standard**		
◯	**Optional state supplement standard**		
◯	**Medically needy income standard**		
◯	**The special income level for institutionalized persons**		
◯	%	Specify percentage:	
◯	**The following dollar amount:**	$	If this amount changes, this item will be revised
◯	**The following formula is used to determine the needs allowance:** *Specify formula:*		
◯	**Other** *Specify*:		

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

iii. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR §435.726:	
a. Health insurance premiums, deductibles and co-insurance charges b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses. *Select one:*	
◯	**Not applicable (see instructions)** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*

◯	**The state does not establish reasonable limits.**
◯	**The state uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.**

State:	
Effective Date	

Appendix 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 waiver services:

i.	**Minimum number of services.** The minimum number of waiver services (one or more) that an individual must require in order to be determined to need waiver services is:	
	1	
ii.	**Frequency of services.** The state requires (select one):	
	◯	**The provision of waiver services at least monthly**
	X	**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**
X	**By the operating agency specified in Appendix A**
◯	**By a government agency under contract with the Medicaid agency.** *Specify the entity*:
◯	**Other** *Specify*:

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

State Support Coordinator – Certified by DSPD that the person is a Qualified Intellectual Disabilities Professional (QIDP).

Qualified support coordinators shall possess at least a Bachelor's degree in nursing, behavioral science, or a human services related field such as social work, sociology, special education, rehabilitation counseling, or psychology and have at least one year of experience working directly with persons with intellectual disabilities or other developmental disabilities. Support Coordinators must also demonstrate competency relating to the planning and delivery of health services to the waiver population through successful completion of a training program approved by the State Medicaid Agency (SMA). At a minimum, the program includes certifications in Utah Comprehensive Assessment of Needs and Strengths (UCANS) assessment, and training on supporting individuals with intellectual or developmental disabilities and related conditions, support coordination requirements, self-administered and agency services, employment, person-centered planning, eligibility and level of care requirements, medication, critical incidents, mandatory reporting for abuse, neglect, exploitation; fatalities, Medicaid eligibility, human rights, housing, the Health Insurance Portability and Accountability Act, and the Settings Rule. The training program must be completed prior to acting as a support coordinator.

Support coordinators must also complete at least 30 hours of training annually to maintain their Qualified Intellectual Disabilities Professional (QIDP) credential, and must meet Division requirements to maintain UCANS certification which includes annual recertification training and interrater reliability reviews.

An individual with a "Bachelor's degree in a human services related field" means an individual who has received: at least a Bachelor's degree from a college or university (master and doctorate degrees are also acceptable) and academic credit for a minimum of 20 credit hours of coursework concentration in a human services field, as defined above. ~~Although a variety of degrees may satisfy the requirements, majors such as geology and chemical engineering are not acceptable.~~

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.

Utah Administrative Rule 414-502-8 defines the State's level of care criteria for intermediate care facilities for persons with intellectual disabilities. The rule defines that a client must:
(1) Have a diagnosis of intellectual disability (42 CFR 483.102(b)(3) or a condition closely related to intellectual disability (42 CFR 435.1010) and
(2) For people seven years old and older, have documented substantial functional limitations in at least three areas of major life activity (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency applicable to those 18 and older). Children under the age of seven years old are considered "at risk" for substantial functional limitations due to simply having a diagnosis as described in item (1). Separate documentation to indicate substantial functional limitations in at least three areas of major life activity is not required until a child turns seven years of age.

A variety of histories and evaluations are required for determination of level of care:
(1) Assessments that document functional limitations in three of the major areas of life activity. Assessments may include psychological evaluations, adaptive testing, State assessments such as the UCANS or the Needs Assessment Questionnaire (NAQ), and other available documentation.

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(2) Social History and/or Social Summary which has been completed by the applicant or for the applicant no longer than one year prior to the date of application.
(3) Psychological evaluation completed within five years of application to the waiver. The evaluation requirement may be waived if the individual has resided in any Utah ICF/ID continuously for more than five years prior to the date of original waiver eligibility determination.
(4) Medical Nursing Evaluation which has been completed by a physician or registered nurse no longer than one year prior to the date of original eligibility determination. (This information is only required for cases in which the person has specific medical conditions that are complex and/or may require additional services to meet the individual's specific medical needs).
(5) Documentation of the developmental disability or related condition as evidenced by the psychological assessment or other medical documentation.
(6) Documentation of date of onset of disability as evidenced by a psychological assessment or other medical documentation.
(7) For individuals residing in any Utah ICF/ID who transition directly from the ICF/ID to waiver services, original level of care certification and eligibility documentation from the ICF/ID will be considered when determining initial waiver eligibility.

The level of care determination screen in the Utah Systems for Tracking Eligibility, Planning, and Services (USTEPS) functions as the State's level of care tool. The QIDP must certify the individual meets all of the following three requirements:
1. Has Intellectual Disability as defined in 42CFR483.102(b)(3)
2. The QIDP has documented that the individual meets the level of care requirements specified in R414-502-8: Criteria for Intermediate Care Facility for the Intellectually Disabled and;
3. The individuals who are determined to require the level of care furnished in an ICF/ID.

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)*:

X	**The same instrument is used in determining the level of care for the waiver and for institutional care under the state Plan.**
◯	**A different instrument is used to determine the level of care for the waiver than for institutional care under the state plan.** Describe how and why this instrument differs from the form used to evaluate institutional level of care and explain how the outcome of the determination is reliable, valid, and fully comparable.

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

A thorough review of available documentation and assessments is conducted initially and annually by specially trained operating agency intake and eligibility personnel who are Qualified Intellectual Disabilities Professionals (QIDP's). State support coordinators determine the initial level of care for new enrollees, other State eligibility personnel certify ongoing level of care for waiver participants. All State staff responsible for initial or ongoing level of care evaluations are trained on level of care requirements including the diagnosis of an intellectual or developmental disability or related condition, the criteria for an Intermediate Care Facility for Persons with Intellectual Disability including substantial functional limitations in three or more of the seven areas of major

life activity, and determining when but for the provision of waiver services the individual would otherwise require placement in an ICF/ID to receive needed services. On the level of care determination screen in USTEPS, the QIDP must certify the individual meets all three of the above listed requirements using assessments including adaptive testing and psychological evaluations, medical records, or other documentation that is available to inform their decision. If these personnel determine that the individual meets eligibility criteria for enrollment in a Home and Community Based Services waiver including the CTW, that determination is entered in the Level of Care determination screen in the USTEPS system and is electronically signed by the QIDP making that decision, which certifies the initial and annual level of care determinations.

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**
X	**Other schedule** *Specify* the other schedule:
	Every 12 months or more often as needed. To determine whether the participant has an ongoing need for ICF/ID level of care, the Participant's level of care is screened at the time a substantial change in the participant's health status occurs. A substantial change includes evaluating health status at the conclusion of an inpatient stay in a medical institution. A full level of care reevaluation is conducted whenever indicated by a health status change screening and at a minimum within 12 consecutive months of the last recorded level of care determination. Health Status changes would speak to any change in physical or mental health which has a direct impact on re-evaluating items specifically listed in Level of Care and Functional Limitations

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

X	**The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.**
◯	**The qualifications are different.** *Specify the qualifications:*

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

State staff generate a USTEPS report to identify all level of care evaluations that will be required for the month, and to confirm their completion before the start of the next month. A new report with customized date parameters can be generated at any time to obtain the most current information.

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

Electronically retrievable documentation of all evaluations and reevaluations are maintained within the USTEPS system for a minimum of three years as required.

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.

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of individuals who had a level of care evaluation completed, within 45 days of submitting a completed intake packet, when seeking waiver services. Numerator is the number of LOC reviews completed within the required time frame; Denominator is the number of individuals requiring review.*
Data Source *(Select one) (Several options are listed in the on-line application):*	
If 'Other' is selected, specify:	
Participant records, USTEPS	

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

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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

i. 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:				
Data Source *(Select one) (Several options are listed in the on-line application):*				
If 'Other' is selected, specify:				
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*	
	☐ State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*	
	☐ Operating Agency	*☐ Monthly*	*☐ Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*☐ Representative Sample; Confidence Interval =*
	☐ Other Specify:	*☐ Annually*		
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

Data Aggregation and Analysis

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

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

Add another Performance measure (button to prompt another performance measure)

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

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of initial level of care determinations completed correctly using the assessments/tools stated in the waiver. Numerator is the number of correct LOC determinations; Denominator is the total number of LOC determinations performed.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
Participant records/USTEPS			
	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)*
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*
	☐ Sub-State Entity	*☐ Quarterly*	*X Representative Sample; Confidence Interval =*

State:	
Effective Date	

	☐ *Other Specify:*	*X Annually*		*95% Confidence Level 5% Margin of Error*
		☐ *Continuously and Ongoing*		☐ *Stratified: Describe Group:*
		☐ *Other Specify:*		
				☐ *Other Specify:*

Add another Data Source for this performance measure

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*
X State Medicaid Agency	☐ *Weekly*
X Operating Agency	☐ *Monthly*
☐ *Sub-State Entity*	☐ *Quarterly*
☐ *Other Specify:*	*X Annually*
	☐ *Continuously and Ongoing*
	☐ *Other Specify:*

Add another Performance measure (button to prompt another performance measure)

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.*

Individuals entering DSPD services are evaluated for level of care by a certified QIDP State Support Coordinator and that evaluation is documented in USTEPS. DSPD reviews monthly reports to verify that ongoing ICF/ID level of care evaluations are completed within designated timeframes.

b. Methods for Remediation/Fixing Individual Problems

i. *Describe the state's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem*

correction. In addition, provide information on the methods used by the state to document these items.

Individual issues regarding the accuracy of level of care determination are addressed and corrected immediately by DSPD to assure that all participants meet ICF/ID level of care. Plans of correction such as additional training may be required to assure future compliance. To assure all issues have been addressed, DSPD is required to report back to the SMA on the results of their interventions within the time frame stipulated in standard operating procedures and protocols or are stipulated on a case by case basis depending on the nature of a specific issue. Results of the reviews will be documented in the SMA's annual Final Reports which are shared with SMA quality assurance staff and operating agency partners including representatives from the Office of Quality and Design, the Division of Services for People with Disabilities, the Division of Licensing, and the waiver manager. The SMA provides these reports following the review of Corrective Action Plans/Quality Improvement Plans when they are utilized. In addition, CMS will receive summaries during 372 reporting, or upon request.

Additionally, State staff run the USTEPS level of care report before the end of the month to identify any level of care recertifications that may have been missed. Eligibility specialists are notified immediately so a level of care determination can be made within the required timeframe.

Individuals determined not to meet level of care requirements are given formal written notice of the decision and information about how to request a Fair Hearing to appeal if they choose. An administrative law judge will schedule the hearing, listen to both sides of the dispute, and issue a written decision indicating whether the Division's decision was right or wrong. The written decision may order the operating agency to correct their case.

ii Remediation Data Aggregation

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

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)*
	X State Medicaid Agency	*☐ Weekly*
	X Operating Agency	*☐ Monthly*
	☐ Sub-State Entity	*☐ Quarterly*
	☐ Other: Specify:	*☐ Annually*
		☐ Continuously and Ongoing
		X Other: Specify:
		Every two years

c. Timelines

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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.

X	**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.

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Appendix 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).

Freedom of Choice is documented on Form 818. Freedom of choice procedures:

1. When an individual is determined eligible for waiver services, the individual and the individual's legal representative, if applicable, will be informed of the alternatives available under the waiver and offered the choice of institutional care (ICF/ID) or home and community-based care by their support coordinator. Individuals are referred to the Division of Services for People with Disabilities (DSPD) website for information which describes the array of services and supports available in Utah including Intermediate Care Facilities for Persons with Intellectual Disabilities (ICF/ID) and the HCBS Waiver programs. In addition, during the intake process individuals will be given a 2-sided Informational Fact Sheet (Form IFS-10) which describes the eligibility criteria and services available through both the waiver program and through ICFs/ID, including contact information for DSPD Intake and for each of the ICFs/ID throughout the state.

2. The support coordinator will offer the choice of waiver services only if:
a. The individual's needs assessment indicates the services the individual requires, including waiver services, are available in the community.
b. The person centered support plan has been agreed to by all parties.
c. The health and safety of the individual can be adequately protected in relation to the delivery of waiver services and supports.

3. Once the individual has chosen home and community-based waiver services and the choice has been documented by the support coordinator, subsequent review of choice of program will only be required at the time a substantial change in the enrollee's condition results in a change in the Person Centered Support Plan. Health Status changes would speak to any change in physical or mental health which has a direct impact on re-evaluating items specifically listed in Level of Care and Functional Limitations. ~~It is, however, the individual's option to choose institutional (ICF/ID) care at any time during the period they are in the waiver.~~

4. The waiver enrollee, and the individual's legal representative if applicable, will be given the opportunity to choose the CTW providers identified on the individual support plan if more than one qualified provider is available to render the services. The individual's choice of providers will be documented in the individual's support plan.

5. The agency will provide in writing, an opportunity for a fair hearing, under 42 CFR Part 431, subpart E, to Medicaid participants who are not given the choice of home or community-based services as an alternative to the institutional care specified for this request, who are denied the waiver service(s) and/or waiver provider(s) of their choice, who are found ineligible for the waiver program, or who have been notified of actions to suspend, reduce and/or terminate services.

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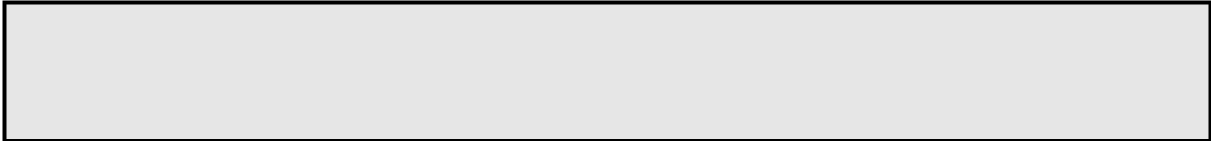

b. **Maintenance of Forms**. Per 45 CFR § 92.42, written copies or electronically retrievable facsimiles of Freedom of Choice forms are maintained for a minimum of three years. Specify the locations where copies of these forms are maintained.

The Operating Agency maintains the Freedom of Choice Form 818 electronically in USTEPS for a minimum of three years as required.

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Appendix B-8: Access to Services by Limited English Proficient 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):

Medicaid providers are required to provide foreign language interpreters for Medicaid participants who have limited English proficiency. Individuals participating in the CTW are entitled to the same access to an interpreter to assist in making appointments for qualified procedures and during those visits. Providers must notify participants that interpretive services are available at no charge. The SMA and OA encourage participants to use professional services rather than relying on a family member or friends though the final choice is theirs. Using an interpretive service provider ensures confidentiality as well as the quality of language translation. Waiver participants may be referred to Medicaid interpretive services by providers, their support coordinator, and/or State staff from the OA or SMA.

Information regarding access to Medicaid Translation Services is included in the Medicaid Member Guide distributed to all Utah Medicaid participants. Eligible participants may access translation services by calling the Medicaid Helpline.

For the full text of the Medicaid Member Guide, go to:

http://health.utah.gov/umb/forms/pdf/mg_w_cover.pdf

Additionally, the Division of Services for People with Disabilities provides contracted interpretive services for limited English proficiency persons throughout the waiver entrance process. State staff explore the individual's preference, if any, for a type of language assistance service.

Bilingual State staff support individuals directly when available and desired by the individual. When interpreting, State staff must meet the following requirements:

-Demonstrate proficiency in and ability to communicate information accurately in both English and in the other language and identify and employ the appropriate mode of interpreting (e.g., consecutive, simultaneous, summarization, or sight translation);

-To the extent necessary for communication between the recipient or its staff and the LEP person, have knowledge in both languages of any specialized terms or concepts peculiar to the recipient's program or activity and of any particularized vocabulary and phraseology used by the LEP person;

-Understand and follow confidentiality and impartiality rules to the same extent as the recipient employee for whom they are interpreting and/or to the extent their position requires;

-Understand and adhere to their role as interpreters without deviating into other roles--such as counselor or advisor--where such deviation would be inappropriate

Appendix C: Participant Services

Appendix C-1/C-3: Summary of Services Covered and Services Specifications

C-1-a. Waiver Services Summary. Appendix C-3 sets forth the specifications for each service that is offered under this waiver. *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:*

Statutory Services *(check each that applies)*		
Service	Included	Alternate Service Title (if any)
Case Management	X	Waiver Support Coordination
Homemaker	X	
Home Health Aide	☐	
Personal Care	X	
Adult Day Health	☐	
Habilitation	X	
Residential Habilitation	X	
Day Habilitation	X	
Prevocational Services	X	
Supported Employment	X	
Education	☐	
Respite	X	Routine, Group, Intensive, Session Options
Day Treatment	☐	
Partial Hospitalization	☐	
Psychosocial Rehabilitation	☐	
Clinic Services	☐	
Live-in Caregiver (42 CFR §441.303(f)(8))	☐	

Other Services *(select one)*	
◯	Not applicable
X	As provided in 42 CFR §440.180(b)(9), the state requests the authority to provide the following additional services not specified in statute *(list each service by title)*:
a.	Behavior consultation

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b.	Chore Services
c.	Community Transition Service
d.	Companion Services
e.	Environmental Adaptations
f.	Extended Living Supports
g.	Family and Individual Training and Preparation Service
h.	Financial Management Services
i.	Massage Therapy
j.	Personal Budget Assistance
k.	Personal Emergency Response System
l.	Professional Medication Monitoring
m.	Professional Nursing Services
n.	Specialized Medical Equipment/Supplies/Assistive Technology
o.	Supported Living
p.	Transportation Services
Extended State Plan Services *(select one)*	
X ◯	Not applicable
◯	The following extended state plan services are provided *(list each extended state plan service by service title)*:
a.	
b.	
c.	
Supports for Participant Direction *(check each that applies))*	
X	The waiver provides for participant direction of services as specified in Appendix E. The waiver includes Information and Assistance in Support of Participant Direction, Financial Management Services or other supports for participant direction as waiver services.
☐	The waiver provides for participant direction of services as specified in Appendix E. Some or all of the supports for participant direction are provided as administrative activities and are described in Appendix E.
◯	Not applicable

Support	Included	Alternate Service Title (if any)
Information and Assistance in Support of Participant Direction	X	

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Financial Management Services	X	
Other Supports for Participant Direction *(list each support by service title)*:		
a.		
b.		
c.		

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C-1/C-3: Service Specification

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

Service Type: Statutory Service

Service: Prevocational Services

Alternate Service Title (if any): Center-Based Prevocational Services

Service Specification	
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)**:**	

Prevocational services (Center-based Prevocational Services) provide learning and work experiences, including volunteer work, where the participant can develop general strengths and skills that contribute to employability in paid employment in integrated community settings. Prevocational services may be provided in a small group and/or on an individual basis. Prevocational activities are not ~~primarily~~ directed at teaching skills to perform a particular job, but ~~are primarily directed at underlying~~ habilitative goals that are associated with building skills necessary to ~~perform work and optimally to~~ perform competitive, integrated employment. Services occur over a defined period of time (24 Calendar Months from the start date of the service) and with specific outcomes to be achieved, as determined by the participant and the~~his/her~~ service and supports planning team through the person-centered planning process.

Participants receiving prevocational services have employment-related goals in their person-centered support plan and the general service activities are designed to support such employment goals. Competitive, integrated employment in the community for which a participant is compensated at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities is considered to be the optimal outcome of prevocational services.

Prevocational services should enable each participant to attain the highest level of work in the most integrated setting and with the job matched to the participant's interests, strengths, priorities, abilities, and capabilities, while following applicable federal wage guidelines. Services are intended to develop and teach general skills; Examples include, but are not limited to: ability to communicate effectively with supervisors, co-workers and customers; generally accepted community workplace conduct and dress; ability to follow directions; ability to attend to tasks; workplace problem solving skills and strategies; general workplace safety and mobility training.

Prevocational services are provided in integrated and inclusive community settings. Prevocational services can also be provided in a hub and spoke model where services are delivered in both integrated community settings and site-based settings. Participation in integrated community settings must be individualized according to the choices and needs of the participant. Providers will be monitored to confirm a person-centered approach to community integration is maintained. Providers will be required to assure at least 20% of the time spent in this

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service on a monthly basis occurs in the community. Exceptions less than 20% require an approved modification. Individuals participating in work as part of prevocational services are compensated in accordance with applicable state and Federal laws and regulations.

Participants may also receive ~~supported employment and/or~~ day support services in conjunction with prevocational services according to the person centered plan, but they may not be billed during the same period of the day. Participation in prevocational services is not a required prerequisite for supported employment services and persons may pursue employment opportunities at any time.

Assistance with activities of daily living may occur during the provision of this service. Transportation at the start/end of the service encounter may be billed separately; transportation furnished during the provision of the service is included in the rate paid.

Pre-vocational services are limited to supporting or addressing the goals described in the individual's person centered services and supports plan and are designed to teach skills that will lead to integrated competitive employment.

All prevocational services and/or goals are reviewed and considered as a component of an individual's person-centered services and supports plan no less than annually, more frequently as necessary or as requested by the individual.

Services that teach job task specific skills are not reimbursed. Services that teach job specific skills required by a participant for the purpose of completing those tasks for a specific facility based job are not reimbursed. Services that do not meet the service requirements for community integration and inclusion are not reimbursed. Prevocational Services excludes service time to support a person working in a competitive and integrated position. ~~and are not delivered in an integrated work setting through supported employment are not reimbursed.~~

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

Limitations: Prevocational services are ~~generally~~ time-limited to 24 consecutive months except with an approved modification that is aligned with the person-centered support plan. Participants may return to additional 24-month periods of prevocational services with the same stipulations after an interruption without a lifetime limit.

Payment will only be made for adaptations, supervision and training required by an individual as a result of the participant's disability and will not include payment for the supervisory activities rendered as a normal part of the business setting. Documentation will be maintained that prevocational services rendered under the waiver are not available under a program funded by either the Rehabilitation Act of 1973, or the Individuals with Disabilities Education Act. Federal Financial Participation will not be claimed for incentive payments, subsidies, or unrelated vocational training expenses, such as incentive payments made to an employer or beneficiaries to encourage or subsidize an employer's participation in a supported employment program, payments that are passed through to a beneficiary of Supported Employment programs, or for payments for vocational training that is not directly related to a beneficiary's Supported Employment program.

Pre-vocational services are limited to supporting or addressing the goals described in the individual's person centered services and supports plan and are designed to teach skills that will lead to integrated competitive employment.

All prevocational services and/or goals are reviewed and considered as a component of an individual's person-centered services and supports plan no less than annually, more frequently as necessary or as requested by the individual.

~~Services that teach job task specific skills required by a participant for the primary purpose of completing those tasks for a specific facility based job and are not delivered in an integrated work setting through supported employment are not reimbursed.~~

~~Prevocational services are only available at settings determined to be in compliance with the HCBS settings rule.~~

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X☐	Agency. List the types of agencies:
				Supported Employment Provider

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

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

Service Type: Statutory Service

Service: Day Habilitation

Alternate Service Title (if any): Day Supports

Service Specification
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)**:**

Day Supports provide assistance with community integration and with acquisition, retention, slow/prevent regression, or improvement in self-help, socialization and adaptive skills that build interpersonal competence, independence and personal choice. Services are most commonly provided in integrated community settings with individuals without disabilities (not including staff paid to support the person), with some services provided in a combination of integrated community settings with a licensed day support setting or the person's residence functioning as a hub according to individual choice and needs. This service may also be provided to individuals with degenerative conditions, and may include training and supports designed to maintain skills and functioning and to prevent or slow regression rather than acquiring new skills or improving existing skills.

Services shall normally be furnished on routine workdays as a routinely occurring service.
Day supports shall focus on enabling the participant to attain or maintain their~~his or her~~ maximum functional level and increase community connections and integration and personal choice. Services are furnished consistent with the person's person-centered plan. Day supports are offered on a 15-minute unit and intermittent basis as well as on a daily basis. It may be provided individually or in small groups. The nature of the Day Supports services offered to each participant is based upon an assessment of the needs and preferences of the participant at the time and may change over time.

Documentation will be maintained that Day Habilitation services rendered under the waiver are not available under a program funded by the Individuals with Disabilities Education Act

Elements of Day Supports:
Non-Site Based Day Supports – designed to take place in the community and are driven by the participant's preferences.
Combined Site and Non-Site Based Day Supports -- provide supports in integrated community settings combined with a Settings Final Rule-compliant licensed site that functions as a hub where supports are organized according to individual choice, participants identify common interests and facilitate planning, incidental personal care needs are addressed, and other individualized needs are supported to increase skills and enhance personal choice.
Senior Supports – designed for participants who have needs that closely resemble those of older persons who desire a lifestyle consistent with that of the community's population of similar age or circumstances. The support is intended to facilitate independence, promote community inclusion and prevent isolation.

Assistance with activities of daily living may occur during the provision of this service. Transportation at the start/end of the service encounter may be billed separately; transportation furnished during the provision of the service is included in the rate paid.

Meals provided as part of these services shall not constitute a "full nutritional regimen" (3 meals per day).

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Day habilitation may not provide for the payment of services that are vocational in nature (i.e., for the primary purpose of producing goods or performing services).

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

Limitations: Participants receiving Day Supports are not eligible to receive separate, individual waiver services in addition to this service if the separate service is essentially duplicative of the tasks defined in Day Supports. Participants receiving Day Supports services may not receive the Extended Living service simultaneously. This service is not available to participants eligible to receive this service through the Medicaid State Plan or other funding source.

This service is available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services but, only when Medicaid is the payer of last resort.

~~Day Support services are only available at settings determined to be in compliance with the HCBS settings rule.~~

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Day Supports Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Statutory Service

Service: Homemaker

State:	
Effective Date	

Alternate Service Title (if any):

Service Specification	
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)**:**

Homemaker Services serve the purpose of maintaining a clean and sanitary living environment in the participant's residence.

Homemaker Services consist of general household activities (meal preparation and routine household care) provided by a trained homemaker, when the participant regularly responsible for those activities is temporarily absent or unable to manage the home and care for him or herself or others in the home.

When delivered through a self-directed model, a waiver participant or their appointed decision-maker, are responsible for the hiring/training/firing, scheduling, supervising and verifying the accuracy of time sheets submitted.

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

Limitations: These services will be provided only in the case where no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. Homemaker Services are not available to participants receiving other waiver services in which the services are essentially duplicative of the tasks defined in Homemaker Services.

This service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services.

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed		
Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s)	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-directed - Homemaker		Agency Based - Homemaker	

State:	
Effective Date	

(check one or both):		

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Statutory Service

Service: Personal Care

Alternate Service Title (if any): Personal Assistance

Service Specification	
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):

Personal Assistance is provisioned on a quarter hour or daily basis of personal assistance and supportive services, specific to the needs of a medically stable individual who is capable of directing their ~~his/her~~ own care or has a surrogate available to direct the care. This service is intended to reinforce an participant's strengths, while substituting or compensation for the absence, loss, diminution, or impairment of physical or cognitive functions. Services will be outlined in the person centered support plan and will not duplicate other covered waiver supports.

Services include activities of daily living including eating, bathing, dressing, toileting, transferring, assistance for accessing community services, assistance with chore and homemaker activities, and transportation.

State:	
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Personal Assistance services are provided on a regularly scheduled basis and are available to participants who live alone or with roommates (including siblings/other family members, or those unrelated to the individual). Services may be provided in the participant's place of residence or in settings outside the place of residence.

When delivered through a self-directed model, a waiver participant or their appointed decision-maker, are responsible for the hiring/training/firing, scheduling, supervising and verifying the accuracy of time sheets submitted. ~~This information has been added to the service description.~~

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

Participants receiving any other service contained within this waiver or through the Medicaid State Plan that may duplicate the provision of Personal Assistance are not eligible to receive Personal Assistance until such services that are entirely duplicative that are offered through other funding sources such as the Medicaid State Plan are exhausted. The services under Personal Assistance are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

Personal Assistance may not be billed during the receipt of other services which allow for incidental/intermittent Personal Assistance under their service definition. Other services which may overlap with the scope of Personal Assistance may not be billed at the same time.

Continuing education hours required to perform this service are not reimbursable by the waiver. ~~Support Coordinators monitor the receipt of Personal Care services with periodic contract reviews completed by the Office of Quality Design within the Department of Human Services.~~

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
		Self-Directed Personal Care Services Provider		Agency-Based Personal Care Provider

Provider Qualifications

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

State:	
Effective Date	

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

Service Type: Statutory Service

Service: Residential Habilitation

Alternate Service Title (if any):

Service Specification	
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 Habilitation means individually tailored supports that assist with acquisition, retention, or improvement in skills related to living as independently and productively as possible in the community.~~, in settings which meet HCBS Settings Rule criteria~~. These supports include adaptive skill development, assistance with activities of daily living, community inclusion, transportation, adult educational supports, social and leisure skill development, that assist the participant to reside in the most integrated setting appropriate to individual~~his/her~~ needs. Residential habilitation also includes personal care and protective oversight and supervision.

Assistance with activities of daily living may occur during the provision of this service. Transportation furnished during the provision of the service is included in the rate paid.

Residential Habilitation Settings:

- Group Homes – Licensed facilities in which 4 or more individuals reside
- Certified Private Residences – Individual supervised apartments or home settings in which 3 individuals or less reside
- Host Homes – Supervised Private Residences for 3 or fewer ~~less~~ individuals aged 18 or older

•Professional Parent Homes – Supervised Private Residences for 3 or fewer individuals under the age of 22.

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Residential Habilitation does not include medical/health care services at this time. For individuals assessed to require additional support with skilled services/medications, Professional Medication Monitoring or Professional Nursing Services may be utilized should State Plan services be insufficient.

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

Limitations: Payment is not made for the cost of room and board, the cost of building maintenance, upkeep and improvement. Payment is not made, directly or indirectly, to members of the participant's immediate family. Payment for this service is also unavailable to those who are simultaneously receiving any other services within this waiver that would be duplicative or overlapping in nature of the services contained within this service definition.

Provider owned or leased facilities where residential habilitation services are furnished must be compliant with the Americans with Disabilities Act.

Home accessibility modifications when covered as a distinct service under the waiver may not be furnished to individuals who receive residential habilitation services except when such services are furnished in the participant's own home.

Modifications or adaptations to a residence required to assure the health and welfare of residents, or to meet the requirements of the applicable life safety code are the responsibility of the provider.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	☐	Agency. List the types of agencies:
				Residential Habilitation Services

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service Type: Statutory Service

Service: Respite

Alternate Service Title (if any): Respite - Routine

Service Specification	
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)**:**

Routine Respite provides one-to-one or group care to Persons to give relief to, or during the absence of, the Person's normal caregiver.

Routine Respite can provide services in:

a. A Facility with a staff ratio of one staff for up to six Persons; OR
b. The private residence of a respite staff. Prior to providing services, all individuals who live in the private residence must pass a criminal background screening from the DHHS/Office of Licensing. The Contractor shall have a staff ratio of one staff for up to three Persons. The staff's own minor children and other individuals who reside in the residence under the age of 14 are to be included in this ratio. Another adult caregiver caring for the other children under the age of 14 may be counted in this ratio, but only relative to the other children under the age of 14 in the home; OR
c. The Person's residence.

When delivered through a self-directed model, a waiver participant or their appointed decision-maker, are responsible for the hiring/training/firing, scheduling, supervising and verifying the accuracy of time sheets submitted.

The State uses the 929 Intensive Respite Screening form to determine the level of respite that is needed by the participant. To qualify for intensive respite care the individual must meet one of the following conditions:

(1) An individual has a documented complex and/or unstable medical condition that requires constant supervision, or a condition that requires prescription medication or treatment follow through throughout the respite time period.
(2) An individual has documented behavioral issues that require frequent (at least daily) intervention to prevent property damage or harm to themselves or others
(3) An individual requires assistance with multiple personal care needs including dressing, bathing, and toileting. An individual requires assistance with transfers and positioning throughout the day.

(4) There is a need for a specialized skill (such as an interpreter) or specialized equipment in the respite setting to assure health and safety.

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

Limitations: Payments for respite services are not made for room and board except when provided as a part of respite care in a setting, approved by the State that is not the participant's private residence. In the case of respite care services that are rendered out of the participant's private residence in a setting approved by the State for a period of six hours or more, this service will be billed under a specific "Respite Care-Out of the home/Room and Board included" billing code. Overnight Respite may not be provided for more than 13 days continuously (not including date of discharge).

In the case of services contained within this definition provided in the provider's or the participant's home, in no case will more than 3 individuals be served by the provider at any one time, except that the provider's children over the age of 14 will not be counted toward the limit of four. In the case of services included in this definition provided by a facility-based program, no more than twenty (20) individuals will be served by the provider at any one time, conditioned upon the stipulation that the provider deploys sufficient staff to meet staff to client ratios approved by the appropriate DSPD designee in advance and further, that staff to client ratios maintained by providers of this service fully conform to all relevant specifications in applicable licensing statutes or administrative rule. Participants receiving services within the Day Supports or Supported Living services may receive Respite Care-Routine services only on an hourly and not a daily basis and only during times that they are not receiving Day Supports or Supported Living services, when the need exists and approval has been granted in advance for the utilization of this service by the appropriate DSPD staff. All instances in which Respite Care-Routine services are delivered for a period of six hours or more within a day shall be billed using a daily rate rather than hourly rates for this service.

This service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services .

This service is not for ongoing daycare nor is this service intended to supplant resources otherwise available for child-care.

Respite care may not be offered at the same time as the person is receiving any other service, either contained within this Home and Community-Based Services waiver or from other sources including the Medicaid State Plan that will afford the person with care and supervision. Respite care may not be offered for relief or substitution of staff paid to provide care and supervision to persons as part of the residential or day habilitation services they receive in this Home and Community-Based Services waiver.

Overnight Respite may not be provided for more than 13 days continuously (not including date of discharge).

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications				
	X	Individual. List types:	X	Agency. List the types of agencies:

State:	
Effective Date	

Provider Category(s) *(check one or both)*:	Self-Directed Respite Provider	Agency-Based Respite Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Statutory Service

Service: Supported Employment

Alternate Service Title (if any):

Service Specification	
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)**:**

Supported Employment serves the purpose of supporting participants, based on individual need, to obtain, maintain, or advance in competitive employment in integrated work settings.

Supported Employment can be provided to a participant who is employed in either full or part time employment and occurs in a work setting where the participant works with individuals without disabilities (not including staff or contracted co-workers paid to support the participant). Supported Employment may occur anytime during a twenty-four hour day and supports are made available in such a way as to assist the participant to achieve competitive employment (compensated at or above the minimum wage, but not less than the customary

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wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities).

Participants in Supported Employment are supported and employed consistent with the strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice of the participant as indicated in the participant's support plan.

Supports To Maintain Employment

These are services provided to maintain integrated and competitive employment. Any of the following activities may be included:

- Work-related behavioral management
- Job coaching
- On-the-job or work-related crisis intervention
- Assisting with skills related to paid employment including communication, problem solving and safety
- Participant directed attendant care (Intermittent ADL/IADL assistance incidental to the job skill supports provided as a core function of the service.).
- Time management
- Grooming
- Employment-related supportive contacts
- Transportation between work or between activities related to employment. Other forms of transportation must be attempted first.(Transportation furnished during the provision of the service is included in the rate paid).
- On-site vocational assessment after employment
- Employer consultation

A participant may be supported individually or in a group. Supported Employment may also include activities and supports designed to assist participants who are interested in creating and maintaining their own business enterprises.

Elements of Supported Employment Services:

Supported Employment Co-Worker Services – provider contracts with a co-worker to provide additional support under the direction of a job coach as a natural extension of the workday.

Supported Employment Enclave/Mobile Work Crew- A small crew of waiver participants, or enclave are trained and supervised amongst employees without disabilities at the host company's worksite, or the crew may operate a self-contained business that operates at multiple locations within the community, under the supervision of a job coach.

Supported Employment/Customized Employment - Participants desiring to create and implement their own business enterprises receive training, instruction and coaching from a provider in such topics as creating a business plan, conducting a market analysis, obtaining business financing, implementing the business and managing financial accounts.

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

Limitations: Payment will only be made for adaptations, supervision and training required by a participant as a result of the participant's disability and will not include payment for the supervisory activities rendered as a normal part of the business setting. Documentation will be maintained that supported employment services

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rendered under the waiver are not available under a program funded by either the Rehabilitation Act of 1973, or the Individuals with Disabilities Education Act. Federal Financial Participation will not be claimed for incentive payments, subsidies, or unrelated vocational training expenses, such as incentive payments made to an employer or beneficiaries to encourage or subsidize an employer's participation in a supported employment program, payments that are passed through to a beneficiary of Supported Employment programs, or for payments for vocational training that is not directly related to a beneficiary's Supported Employment program.

Daily services/rates are rendered when Supported Employment services are provided for six hours or more per day by a provider.

Supported employment provided to an individual does not include facility based, or other similar types of vocational services furnished in specialized facilities that are not a part of the general workplace.

All supported employment service options are required to be reviewed and considered as a component of an individual's person-centered services and supports plan no less than annually, more frequently as necessary or as requested by the individual. These services and supports are designed to support successful employment outcomes consistent with the individual's goals.

Supported employment supports do not include volunteer work. Such volunteer learning and training activities that prepare a person for entry into the paid workforce are addressed through pre-vocational services.

Medicaid funds may not be used to defray the expenses associated with starting up or operating a business.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X☐	Agency. List the types of agencies:
			Supported Employment Provider	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
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Service Type: Statutory Service

Service: Case Management

Alternate Service Title (if any): ~~Waiver~~ Support Coordination

Service Specification	
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)**:**

~~Waiver~~ Support Coordination services (a) establish and maintain the participant in the support system and the Waiver in accordance with program requirements and the participant's assessed support needs and (b) coordinate the delivery of quality waiver services. In order to accomplish this, Support Coordinators are afforded access to the participants that they serve at all times, with or without prior notice.

Support Coordination assists participants to: (a) maintain Medicaid financial and categorical eligibility (once enrolled), (b) identify the supports necessary to insure the participant's health and safety, (c) write, coordinate, integrate, and assure the implementation of the Person Centered Support Plan (PCSP), (d) gain access to waiver supports, State Plan services, medical, social, and educational assessments and services, and any other services, regardless of the funding source, and (e) develop a personal budget as a component of the PCSP.

Support Coordination also involves activities to: (f) provide an initial assessment and ongoing reassessment of the participant's level of care determination, (g) facilitate a person-centered plan, (h) review the participant's support plan at such intervals as are specified in the Waiver Application document, (i) write and update personal social history through USTEPS, (j) provide ongoing monitoring to assure the provision and quality of the supports identified in the PCSP, (k) instruct the participant/legal representative/family how to independently obtain access to services and supports, regardless of funding source, (l) provide transition planning services when a participant~~an participant~~ living in an ICF/ID is transitioned to the waiver, (m) assist the person to find and retain safe and affordable housing, (n) provide discharge planning services when a~~n~~ participant is disenrolled from the waiver, (o) assist participants to request a fair hearing if an adverse decision has been made regarding waiver eligibility, amount, frequency and duration of waiver services and/or choice of providers from which to receive waiver services and (p) articulate discharge planning activities as necessary when participants are to be disenrolled from the waiver .

When a waiver participant elects to enroll in hospice care, support coordinators shall meet together with the hospice case management agency upon commencement of hospice services to develop a coordinated plan of care that clearly defines the roles and responsibilities of each program. The support coordinator shall ensure

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that the waiver program provides services that are unrelated to the client's terminal illness and are necessary to maintain safe residence in a home or community-based setting in accordance with waiver requirements.

Waiver Support Coordination includes provision of support coordination services furnished to individuals living in Intermediate Care Facilities prior to their transition to the waiver for up to 180 consecutive days prior to discharge. Providers may not bill for this service until the date of the person's entry into the waiver program.

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

The waiver support coordination service will not duplicate similar services provided by other programs serving children under this waiver including education and foster care, i.e., children in custody of the State of Utah Department of Health and Human Services, Division of Child and Family Services.

The services under Wwaiver Support Coordination are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

When activities related to the assessment of level of care and support plan development are furnished as waiver support coordination activities, payment for such services may not be made until the individual is actually enrolled in the waiver.

Waiver Support Coordination must comport with conflict of interest requirements at 42 CFR 441.301(1)(vi) and in accordance with Appendix D-1-b.

Documentation will be maintained that waiver Support Coordination services rendered under the waiver are not available under a program funded by the Individuals with Disabilities Education Act.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Agency Based - Individual Medicaid Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service Type: Other Service

Service: Financial Management Services

Alternate Service Title (if any):

Service Specification	
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)**:**

Financial Management Services is offered in support of the self-directed services delivery option. Services rendered under this definition include those to facilitate the employment of personal attendants or assistants by the participant or designated representative including:

a) Provider qualification verification;

b) Employer-related activities including federal, state, and local tax withholding/payments, unemployment compensation fees, wage settlements, fiscal accounting and expenditure reports;

c) Medicaid claims processing and reimbursement distribution; and

d) Providing monthly accounting and expense reports to the participant.

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

Financial Management Services are intended to provide payroll services to Home and Community-Based Services waiver participants who elect participant direction. This service is provided to those utilizing Self-Directed Services. This service does not provide persons with assistance in managing their personal funds or budgets and does not provide representative payee services.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
	☐	Individual. List types:	X	Agency. List the types of agencies:

State:	
Effective Date	

Provider Category(s) *(check one or both)*:		Financial Management Services Provider~~Licensed Public Accounting Agency~~

Provider Qualifications

Provider Type:	License *(specify)*	Certificate *(specify)*	Other Standard *(specify)*
Licensed Public Accounting Agency			

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Behavior Consultation I

Alternate Service Title (if any):

Service Specification	
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):	
Behavior Consultation I services include the provision of educational procedures and techniques that are designed to decrease problem behavior and increase adaptive replacement behaviors. Consultations are based upon the principles of Applied Behavior Analysis and focus on positive behavior supports. Behavioral consultants provide services to participants whose problematic behavior may be emerging, annoying, worrisome and objectionable, but not dangerous, and may interfere with learning or social relationships. The behaviors of the person shall not constitute an impending crisis, nor shall they be assessed as constituting a serious problem. The Behavior consultant works with families and/or support staff whose needs do not exceed beyond consultation including skill training who are capable of coordinating with schools, agencies, and others as	

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needed. Consultation may include the development of a behavior program which employs the principles of Applied Behavior Analysis which focus on positive behavioral supports and do not include any intrusive interventions. Services are to be provided in the person's residence or other naturally occurring environment in the community.

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

Limitations: The services under Behavioral Consultation I, II, III are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

Documentation will be maintained that Behavioral Consultation I services rendered under the waiver are not available under a program funded by the Individuals with Disabilities Education Act.

Contractors are not permitted to provide direct care to persons (i.e. bathing, feeding, dressing, or supervision) nor are they allowed to transport persons receiving services.

For children under the age of 21, services determined to be medically necessary under the EPSDT benefit are covered pursuant to Section 1905(a) of the Social Security Act.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Behaviorist		Agency Based - Behavior Consultation ~~Service~~ I Service Provider	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service Type: Other Service

Service: Behavior Consultation II

Alternate Service Title (if any):

Service Specification	
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)**:**	
Behavior Consultation II includes the provision of educational procedures and techniques that are designed to decrease problem behavior and increase adaptive replacement behaviors. Interventions are based upon the principles of Applied Behavior Analysis and focus on positive behavior supports. Behavior consultants provide individual behavior consultation to families and/or staff who support participants whose problematic behavior may be emerging, annoying, worrisome and objectionable, but not dangerous, and may interfere with learning or social relationships OR serious though not potentially life-threatening behavioral problems that may be complicated by medical or other factors. Problems addressed by behavior consultants are identified as serious, but have not been judged to be treatment resistant or refractory. Consultation shall include designing the behavior support plan and training the family and/or support staff on a behavior support plan developed specifically for the person being served. Services are to be provided in the person's residence or other naturally occurring environment in the community. This service is consultative in nature and does not include the provision of any direct services to participants.	
Specify applicable (if any) limits on the amount, frequency, or duration of this service:	
Limitations: Contractors are not permitted to provide direct care to persons (i.e. bathing, feeding, dressing, or supervision) nor are they allowed to transport persons receiving services. This service is not available to participants eligible to receive this service through the Medicaid State Plan or other funding source. The services under Behavioral Consultation I, II, III are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization. Documentation will be maintained that Behavioral Consultation II services rendered under the waiver are not available under a program funded by the Individuals with Disabilities Education Act. For children under the age of 21, services determined to be medically necessary under the EPSDT benefit are covered pursuant to Section 1905(a) of the Social Security Act.	

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

State:	
Effective Date	

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Behaviorist		Agency-based – Behavior Consultation ~~Service~~ II Service Provider	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Behavior Consultation III

Alternate Service Title (if any):

Service Specification	
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):	
Behavior Consultation Service III includes the provision of educational procedures and techniques that are designed to decrease problem behavior and increase adaptive replacement behaviors. Interventions are based upon the principles of Applied Behavior Analysis and focus on positive behavior supports. Behavioral	

consultants provide individual behavioral consultation to families and/or staff who support participants with the most involved, complex, difficult, dangerous, potentially life threatening and resistant to change behavioral problems. The serious behavioral problems may be complicated by medical or other factors. In addition, eligible persons must have failed alternative interventions and are severely limited in their activities and opportunities due to their behavioral problems. Consultation shall include designing and training the family and/or support staff on a behavior support plan developed specifically for the person being served. Services are to be provided in the person's residence or other naturally occurring environment in the community.

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

Limitations: Contractors are not permitted to provide direct care to persons (i.e. bathing, feeding, dressing, or supervision) nor are they allowed to transport persons receiving services. This service is not available to individuals eligible to receive this service through the Medicaid State Plan or other funding source.

The services under Behavioral Consultation I, II, III are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

Documentation will be maintained that Behavioral Consultation III services rendered under the waiver are not available under a program funded by the Individuals with Disabilities Education Act.

For children under the age of 21, services determined to be medically necessary under the EPSDT benefit are covered pursuant to Section 1905(a) of the Social Security Act.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
		Behaviorist		Agency - Based – Behaviorist Consultation III Service Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service Type: Other Service

Service: Chore Services

Alternate Service Title (if any):

Service Specification	
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):	
Chore Services serve the purpose of maintaining a clean, sanitary and safe living environment in the participant's residence. Chore Services involve heavy household tasks such as washing floors, windows and walls, tacking down loose rugs and tiles, moving heavy items of furniture in order to provide safe access and egress. When delivered through a self-directed model, a waiver participant or their appointed decision-maker, are responsible for the hiring/training/firing, scheduling, supervising and verifying the accuracy of time sheets submitted.	
Specify applicable (if any) limits on the amount, frequency, or duration of this service:	
Limitations: These services will be provided only in the case where no other relative, care giver, landlord, community/volunteer agency, or third-party payer is capable of or responsible for their provision. In the case of rental property, the responsibility of the landlord, pursuant to the lease agreement, will be examined prior to any authorization. Participants receiving any other service contained within this waiver that may duplicate the provision of Chore Services are not eligible to receive Chore Services. This service is not available to foster children in the custody of the State of Utah: Department of Human Services, Division of Child and Family Services.	

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications

State:	
Effective Date	

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-directed Chore Services		Agency-based Chore Service Providers	

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

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

Service Type: Other Service

Service: Community Transition Services

Alternate Service Title (if any):

Service Specification	
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):	
Community Transition Services are for participants without the financial means available, to secure essential housing provisions. Community Transitions Services are non-recurring set-up expenses for individuals who are transitioning from an institutional or another provider-operated living arrangement to a living arrangement in a private residence where the person is directly responsible for his or her own living expenses. This service provides set-up expenses/allowable expenses that are necessary to enable a person to establish a basic household that do not constitute room and board and may include: ● security deposits that are required to obtain a lease on an apartment or home	

State:	
Effective Date	

- essential household furnishings and moving expense required to occupy and use a community domicile, including furniture, window coverings, food preparation items (including food storage containers), and bed/bath linens
- set-up fees or deposits for utility or service access, including telephone, electricity, heating and water
- services necessary for the individual's health and safety such as pest eradication and one-time cleaning prior to occupancy
- moving expenses
- necessary home accessibility adaptations activities to assess need, arrange for and procure needed resources.

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

Limitations: Reimbursement for the cost of rent or food is not a covered expense under this service. Reimbursable items are limited to only those household items that are essential. Reimbursement for the cost of refundable fees or deposits is not a covered expense under this service.

This service requires prior authorization by the operating agency. This service is available only after attempts to access start-up items from all alternative sources have been exhausted. Efforts to access alternative sources must be documented in the participant's case file. Copies of this documentation must be submitted to the Division of Services for People with Disabilities prior authorization designee for review. This service is only available for assisting participants in transitioning to a living arrangement in a private residence where the person is responsible for his or her living expenses.

FFP will not be claimed until the individual is enrolled in the waiver.

Financial means refers to the Support Coordinator's review of the individual's finances and income available versus the cost of the prospective good/service to determine whether the individual has the capability (or will in the immediate future) to pay for the item themselves without causing hardship against other upcoming expenses such as rent/utilities/food/co-pays, etc.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Community Transition Services Provider

Provider Qualifications

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

State:	
Effective Date	

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

Service Type: Other Service

Service: Companion Services

Alternate Service Title (if any):

Service Specification	
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)**:**

Companion Services involve non-medical care, supervision and socialization service, ~~provided to a functionally impaired adult~~. Companions may assist or supervise the participant with such tasks as meal preparation, laundry and shopping, but do not perform these activities as discrete services. The provision of companion services does not entail hands-on nursing care. Providers may also perform light housekeeping tasks that are incidental to the care and supervision of the participant. This service is provided in accordance with a therapeutic goal in the Person Centered Support Plan and is not purely diversional in nature.

When delivered through a self-directed model, a waiver participant or their appointed decision-maker, are responsible for the hiring/training/firing, scheduling, supervising and verifying the accuracy of time sheets submitted.

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

Limitations: Companion Services are not available to participants receiving other waiver services in which the services are essentially duplicative of the tasks defined in Companion Services. Participants receiving services within the Day Supports or Supported Living may receive Companion Services only in 15 minute increments and not a daily basis, when the need exists and approval has been granted by DSPD in advance for the utilization of this service.

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This service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services or Division of Juvenile Justice and Youth Services. Services rendered in excess of 6 hours in a single day will be billed using the daily rate.					
Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed	

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-directed – Companion Services Provider		Agency-based – Companion Services Provider	

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

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

Service Type: Other Service

Service: Environmental Adaptations - Home

Alternate Service Title (if any):

Service Specification	
HCBS Taxonomy	
Category 1:	Sub-Category 1:
Category 2:	Sub-Category 2:
Category 3:	Sub-Category 3:

State:	
Effective Date	

Category 4:	Sub-Category 4:

Service Definition (Scope):

Environmental Adaptations - Home involved equipment and/or physical adaptations to the participant's residence that are not generally removable and are necessary to assure the health, welfare and safety of the participant or enhance the participant's level of independence and productivity. The equipment/ adaptations are identified in the participant's support plan and a qualified professional specifies the model and type of equipment. The adaptations may include purchase, installation, and repairs. Such equipment/ adaptations include:

a. Ramps
b. Lifts/elevators
   1. Porch or stair lifts
   2. Hydraulic, manual or other electronic lifts
c. Modifications/additions of bathroom facilities
   1. Roll-in showers
   2. Sink modifications
   3. Bathtub modifications/grab bars
   4. Toilet modifications/grab bars
   5. Water faucet controls
   6. Floor urinal and bidet adaptations and plumbing modifications
   7. Turnaround space adaptations
d. Widening of doorways/hallways
e. Specialized accessibility/safety adaptations/additions
   1. Door-widening
   2. Electrical wiring
   3. Grab bars and handrails
   4. Automatic door openers/doorbells
   5. Voice activated, light activated, motion activated and electronic devices
   6. Fire safety adaptations
   7. Medically necessary air filtering devices
   8. Medically necessary heating/cooling adaptations

Other adaptation and repairs may be approved on a case-by-case basis as technology changes (when a newer technology will significantly increase a participant's ability to be more independent than is possible with the current equipment) or as a participant's physical or environmental needs change.

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

Limitations: Each environmental adaptation must be: 1) documented as medically necessary by a physician; 2) prior approved by DSPD in accordance with written policy including defined qualifying criteria; and 3) documented as not otherwise available as a Medicaid State Plan service. Excluded are those adaptations or improvements to the home, which are of general utility, and are not of direct medical or remedial benefit to the participant. General household repairs are not included but repairs to housing modifications will be allowed, as necessary, if identified in the participant's support plan. These repairs must be limited to the repair of previously approved modifications or adaptations that are directly and exclusively related to allowing the participant to remain in housing within their community and avoid placement in a Nursing Facility (NF). All services shall be provided in accordance with applicable State or local building codes.

Environmental Adaptations are only available in the private residence of the participant or the participant's family. Environmental Adaptations may not be furnished to adapt living arrangements that are owned or leased by providers of waiver services.

The services under Environmental Adaptations are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Environmental Adaptations Supplier

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Environmental Adaptations - Vehicle

Alternate Service Title (if any):

Service Specification

HCBS Taxonomy	
Category 1:	Sub-Category 1:
Category 2:	Sub-Category 2:

State:	
Effective Date	

Category 3:	Sub-Category 3:
Category 4:	Sub-Category 4:

Service Definition (Scope):

Environmental Adaptations for the vehicle involve equipment and/or physical adaptations to the individual's vehicle that are necessary to assure the health, welfare and safety of the individual or enhance the individual's level of independence. The equipment/adaptations are identified in the individual's support plan and a qualified professional specifies the model and type of equipment. The adaptations may include purchase, installation, and repairs. Such equipment/adaptations include:

a. Lifts
b. Door modifications
c. Steering/braking/accelerating/shifting modifications
d. Seating modifications
e. Safety/security modifications

Other adaptation and repairs may be approved on a case-by-case basis as technology changes (when a newer technology will significantly increase an individual's ability to be more independent than is possible with the current equipment) or as an individual's physical or environmental needs change.

For individuals transitioning into the waiver from institutional settings, items/modifications may be purchased up to 180 days in advance, but may not be billed until the individual has been determined eligible for the waiver and has an approved PCSP.

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

Limitations: Each environmental adaptation must be: 1) documented as medically necessary by a physician; 2) prior approved by DSPD in accordance with written policy including defined qualifying criteria; and 3) documented as not otherwise available as a Medicaid State Plan service. Excluded are those adaptations or improvements to the vehicle, which are of general utility, and are not of direct medical or remedial benefit to the individual. General vehicle repairs are not included but repairs to vehicle modifications will be allowed, as necessary, if identified in the individual's support plan. These repairs must be limited to the repair of previously approved modifications or adaptations that are directly and exclusively related to allowing the individual to remain in housing within their community and avoid placement in a Nursing Facility (NF). All services shall be provided in accordance with applicable State or local vehicle codes.

The vehicle that is adapted may be owned by the individual, a family member with whom the individual lives or has consistent and on-going contact, or a non-relative who provides primary long-term support to the individual and is not a paid provider of such services.

Payment may not be made to adapt the vehicles that are owned or leased by paid providers of waiver services. The costs of necessary adaptations to provider vehicles may be compensated in the payment rate for transportation or other services that include the cost of transportation.

The services under Environmental Adaptations are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E			x	Provider managed
Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Environmental Adaptations Suppliers

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Extended Living Supports

Alternate Service Title (if any):

Service Specification	
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)**:**	

State:	
Effective Date	

Extended Living Supports provides supervision, socialization, personal care and supports for persons who reside in a community living setting during the period of time they would normally be attending an employment, day or school program. Extended living supports are intended to be utilized for short periods of time, such as illness, recovery from surgery and/or transition between service providers and are not intended for long term use in lieu of supported employment, day supports or school programs.

There is not a maximum group size, however staffing ratios should be reflective of the individual's assessed need. Most commonly, the service is provided in 1:1 ratio and primarily delivered in the individual's residence.

During visits and monthly service approvals, Support Coordinators work to validate the receipt of services with members and confirm duplication has been avoided.

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

Limitations: Participants receiving Extended Living Supports may not receive Day Supports Services simultaneously.

This service is available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services - and the Division of Juvenile Justice and Youth Services only when other available similar services offered through other funding sources have been exhausted.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E		x	Provider managed
Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐ Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐ Individual. List types:	X Agency. List the types of agencies:
		Extended Living Supports Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service Type: Other ServiceSo

Service: Family and Individual Training and Preparation Service - Tier I

Alternate Service Title (if any):

Service Specification	
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):	
Family and Individual Training and Preparation Service -Tier I- is training and guidance services for covered participants and/or their family members. For purposes of this service, "family" is defined as the persons who live with or provide care to a person served on the waiver, and may include a parent, spouse, children, relatives, or in-laws. This may also extend to friends or roommates if they reside with, or assist the participant. "Family" does not include individuals who are employed to care for the participant. Training includes instruction about treatment regimens and use of equipment specified in the plan of care, and shall include updates as necessary to safely maintain the participant at home, work or in their community and to maintain the integrity of the family unit. Training may also include instructions on how to access services, how to participate in the self-direction of care, how to hire, fire and evaluate service providers, participant choices and rights, participant's personal responsibilities and liabilities when receiving services under the self-directed services method (e.g., billing, reviewing and approving timesheets), instruction to the family, and skills development training to the participant relating to interventions to cope with problems or unique situations occurring within the family, techniques of behavior support, social skills development, and accessing community cultural and recreational activities.	
Specify applicable (if any) limits on the amount, frequency, or duration of this service:	
Limitations: Services and supports provided through the Family and Individual Training and Preparation ServiceFamily Assistance and Support category are intended to accomplish a clearly defined outcome that is outlined in the person centered support plan, including the expected duration of the activity and the measures to be used to gauge progress. The activities may not be duplicative of other services and supports received by the waiver participant and will not consist solely of supervision, companionship or observation of the participant during leisure and other community events. Family and Individual Training and Preparation services are not available to foster families. This service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services and the Division of Juvenile Justice and Youth Services .	

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

State:	
Effective Date	

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-directed – Family Training and Preparation Services Provider		Agency-based – Family Training and Preparation Services Provider	

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

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

Service Type: Other Service

Service: Family and Individual Training and Preparation Service - Tier II

Alternate Service Title (if any):

Service Specification	
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)**:**	
Family and Individual Training and Preparation Service - Tier II - is training and guidance services for covered participants and/or their family members. For purposes of this service, "family" is defined as the persons who live with or provide care to a person served on the waiver, and may include a parent, spouse, children, relatives,	

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, or in-laws. This may also extend to friends or roommates if they reside with, or assist the participant. "Family" does not include individuals who are employed to care for the waiver participant. Training includes instruction about treatment regimens and use of equipment specified in the plan of care, and shall include updates as necessary to safely maintain the participant at home, work or in their community and to maintain the integrity of the family unit. Training may also include instructions on how to access services, how to participate in the self-direction of care, how to hire, fire and evaluate service providers, participant choices and rights, participant's personal responsibilities and liabilities when participating in participant-directed programs (e.g., billing, reviewing and approving timesheets), instruction to the family, and skills development training to the participant relating to interventions to cope with problems or unique situations occurring within the family, techniques of behavior support, social skills development, and accessing community cultural and recreational activities. Family and Individual Training and Preparation Service Tier II is intended for families who present with considerably more complex or dysfunctional issues than those receiving Family Training and Preparation services Tier I, and may include families with multiple participants within the family. Or, families receiving this service have been assessed as requiring a more sophisticated level of training and assistance than those receiving routine Family Training and Preparation services Tier I. Supports rendered under this service definition are delivered by Bachelor's level staff with considerably greater training and experience than those rendering service under the Family Training and Preparation Service definition, including specific topical training in family and individual consultation, using a curriculum prepared by DSPD and approved by the SMA, and providers of this service must successfully complete training offered by DSPD utilizing this curriculum.

Services may also include those that enhance the participant's ability to exercise individual rights as a member of society through self-sufficiency and informed decision-making. Supports include: (a) Training in conflict resolution and mediation of disagreements, and forming a consensus (b) Identifying, building, and maintaining natural supports; and, (c) Instructing and consulting with families on ways to become as self-sufficient as possible.

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

Limitations: Services and supports provided through the Family and Individual Training and Preparation Services category are intended to accomplish a clearly defined outcome that is outlined in the person centered support plan, including the expected duration of the activity and the measures to be used to gauge progress. The activities may not be duplicative of other services and supports received by the waiver participant and will not consist solely of supervision, companionship or observation of the participant during leisure/community events. Family and Individual Training and Preparation services are not available to foster families. This service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Agency-based – Family Training and Preparation Services Provider

State:	
Effective Date	

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

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

Service Type: Other Service

Service: Massage Therapy

Alternate Service Title (if any):

Service Specification				
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)**:**				
Massage Therapy is provision of therapeutic services delivered by licensed massage therapists intended to provide comfort, stress and tension relief and reduction, and other health-related benefits consistent with the practice of massage therapy. This service is intended to accomplish a clearly defined outcome that is outlined in the person centered ~~individual~~ support plan and due to a condition related to the individual's disability.				
Specify applicable (if any) limits on the amount, frequency, or duration of this service:				
The amount, frequency and duration provided will be reflective of the prescription completed by a medical professional for medical benefit to the person. This service is only available after all other funding sources have been exhausted.				
Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

State:	
Effective Date	

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications			
Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Licensed Massage Therapist		Agency-based – Massage Therapy	

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

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

Service Type: Other Service

Service: Personal Budget Assistance

Alternate Service Title (if any):

Service Specification	
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):	
Personal Budget Assistance provides assistance with financial matters, including fiscal training, supervision of financial resources, savings, retirement, earnings and funds monitoring, monthly check writing, bank reconciliation, budget management, tax and fiscal record keeping and filing, and fiscal interaction ~~on behalf of the participant~~.	

State:	
Effective Date	

This service also affords those receiving Financial Management Services (FMS) with assistance in managing their personal funds and budgets and will afford representative payee services for those that are assessed as requiring them, while FMS only provides payroll services for those persons who elect to utilize participant direction.
~~The Person's financial records shall be reviewed at least monthly with the person and by an administrative staff not authorized to make expenditures on behalf of the person~~.

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

~~Personal Budget Assistance affords those also receiving Financial Management Services (FMS) with assistance in managing their personal funds and budgets and will afford representative payee services for those that are assessed as requiring them, while FMS only provides payroll services for those persons who elect to utilize participant direction.~~

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Personal Budget Assistance Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service: Personal Emergency Response System

Alternate Service Title (if any):

Service Specification	
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)**:**

Personal Emergency Response Systems serve the purpose of enabling the participant who has the skills to live independently or with minimal support to summon assistance in case of an emergency.

Personal Emergency Response System is an electronic device of a type that allows the participant requiring such a system to rapidly secure assistance in the event of an emergency. The device may be any one of a number of such devices but must be connected to a signal response center that is staffed twenty-four hours a day, seven days a week by trained professionals.

Elements of Personal Emergency Response System:

• Installation and testing of the Personal Emergency Response System

• Monthly Fee is the periodic service fees (e.g., monthly) for ongoing support services and or rental associated with the Personal Emergency Response System

• Purchase of Personal Emergency Response System

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

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications			
Provider Category(s)	☐ Individual. List types:	X	Agency. List the types of agencies:
		Personal Emergency Response System Installer	
		Emergency Response System Supplier	

State:	
Effective Date	

(check one or both):		~~Emergency Response System Supplier~~
		Personal Emergency Response Center
		~~Emergency Response System Supplier~~

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Professional Medication Monitoring

Alternate Service Title (if any):

Service Specification	
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):	
Professional Medication Monitoring provides testing and nursing services necessary to provide medication management to assure the health and welfare of the person. This service includes regularly scheduled, periodic visits by a nurse in order to conduct an assessment of the participant with regard to their health and safety particularly as it is affected by the maintenance medication regimen that has been prescribed by their physician, to review and monitor for the presence and timely completion of necessary laboratory testing related to the medication regimen, and to offer patient instruction and education regarding this medication regimen. Nurses will also provide assistance to the participant by ensuring that all pill-dispensing aids are suitably stocked and refilled.	

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Effective Date	

Specify applicable (if any) limits on the amount, frequency, or duration of this service:						
Limitations: For children under the age of 21, services determined to be medically necessary under the EPSDT benefit are covered pursuant to Section 1905(a) of the Social Security Act. The services under Professional Medication Monitoring are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.						
Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E			x	Provider managed
Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
		RN or LPN		~~Home Health Agency~~
				Professional Medication Monitoring Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Professional Nursing Services

Alternate Service Title (if any):

Service Specification	
HCBS Taxonomy	
Category 1:	Sub-Category 1:
Category 2:	Sub-Category 2:

State:	
Effective Date	

Category 3:	Sub-Category 3:
Category 4:	**Sub-Category 4:**

Service Definition (Scope):

Professional Nursing Services ~~– Tier One and Tier Two~~ are services provided to participants who have a level of medical complexity that requires long-term, (typically) daily or multiple daily episodes of skilled nursing services to ensure health and welfare related to chronic conditions. Services include 1) direct, hands-on care of medical devices, such as ventilators, tracheostomies, G-tubes, urinary catheters, and ostomies; 2) direct, hands-on provision of skilled nursing services such as injections, g-tube feedings and complex medication administration and oxygen administration and titration per physician prescription: 3) training and delegation of discreet, skilled nursing tasks for an individual, to unlicensed assistive personnel in compliance with Utah Administrative Rule R146-31b-701; (4) Ensuring correct and complete medical information is shared with a~~n~~ participant's physician and that physician's orders are accurately and completely transcribed and implemented; (5) Providing participant-specific training to direct care staff to reduce risks related to serious medical conditions, such as seizure precautions, risk of aspiration/choking for those with swallowing difficulty, or skin integrity risk for those with incontinence/limited mobility.

~~Tier One services consist of nursing services delivered to participants whose condition is stable and whose response to treatment is predictable.~~

~~Tier Two services consist of nursing services delivered to a participant whose condition is unstable, or whose response to treatment is unpredictable. Provision of Tier Two services involve sterile procedures or processes, invasive procedures, injectable medication administration (except routine insulin administration to stable diabetes), central line maintenance, and acts requiring nursing judgment.~~

~~The primary difference between Tier I and II is the need for assistance with behavioral interventions and strategies. Should this support be required by the individual/family, Tier II would be utilized.~~

~~It would be more likely to see either Tier I or II approved independently, however both could be authorized based on assessed needs. In annual reviews DHS monitors for overlapping or duplicate billing of services. Support coordinators also monitor for overlapping or duplicate services prior to approving billings.~~

~~Although the services will likely be provided by the participant's residential habilitation and/or day program in many cases, the state will not require for this service to be provided by the person's residential or day supports provider.~~ The Support Coordinator will provide the participant with a list of all enrolled providers of the service and support the participant to select a provider.

This service is meant to compensate for intermittent interaction and monitoring. For example there may be a participant who requires insulin shots 4 times throughout the day. These shots would likely take 15 minutes at most, getting a home health agency to send a nurse out to the location for a 15 minute service 4 times a day would not be economically feasible for the agency since they could only bill for 4 units when they probably had to compensate the nurse for 5+ hours of service. In addition, if they were providing a similarly short and intermittent service to others in the same location, billing~~location billing~~ could quickly become difficult and cumbersome for providers. We believe that a daily rate allows for flexibility for participants and providers in meeting the nursing needs of participants and providing adequate compensation to support the costs of providing the service.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Limitations: The services under Professional Nursing Services are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization. ~~Professional Nursing Services are only available in settings which comply with the HCBS Settings regulation.~~ The use of the daily rate is meant to allow for flexibility in how the service is leveraged for participants and providers. While the service can be provided in any community-based setting, it would not be provided by multiple providers on the same day. The Support Coordinator will provide the participant with a list of all enrolled providers of the service and support the participant to select a provider.~~The State intends to enroll any willing and qualified provider and provide freedom of choice of providers, however, only one provider can provide the service at a time for a participant.~~ The OA/SMA nurse and the participant's support coordinator will review requests for ~~cases requesting~~ these services to identify whether the needs of the individual can be addressed through the State Plan Home Health benefit prior to authorizing this service. Approval of this service will only take place after a determination that those needs cannot be adequately met through the State Plan. This does not preclude the receipt of both services over the same period, but will ensure that the waiver service does not supplant the State Plan service.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
		RN or LPN~~Professional Nursing Services Provider~~		~~Home Health Agency~~ Professional Nursing Services Provider

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

Service Type: Other Service

Service: Residential Habilitation - DCFS/JJS

Alternate Service Title (if any):

Service Specification	
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 Habilitation - DCFS/JJS means individually tailored supports that assist with acquisition, retention, or improvement in skills related to living as independently and productively as possible in the community, in settings which meet HCBS Settings Rule criteria. These supports include adaptive skill development, assistance with activities of daily living, community inclusion, transportation, adult educational supports, social and leisure skill development, that assist the participant to reside in the most integrated setting appropriate to his/her needs. Residential habilitation - DCFS/JJS also includes personal care and protective oversight and supervision.

Assistance with activities of daily living may occur during the provision of this service. Transportation furnished during the provision of the service is included in the rate paid.

Residential Habilitation - DCFS/JJS Settings:

- Group Homes – Licensed facilities in which 4 or more individuals reside
- Certified Private Residences – Individual supervised apartments or home settings in which 3 individuals or less reside
- Professional Parent Homes – Supervised Private Residences for 3 or less individuals under the age of 22.

Residential Habilitation - DCFS/JJS does not include medical/health care services at this time. For individuals assessed to require additional support with skilled services/medications, Professional Medication Monitoring or Professional Nursing Services may be utilized should State Plan services be insufficient.

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

Limitations: Payment is not made for the cost of room and board, the cost of building maintenance, upkeep and improvement. Payment is not made, directly or indirectly, to members of the participant's immediate family.

State:	
Effective Date	

Payment for this service is also unavailable to those who are simultaneously receiving any other services within this waiver that would be duplicative or overlapping in nature of the services contained within this service definition.

This service is available to participants in the custody of the State of Utah: Department of Human Services, Division of Child and Family Services (DCFS) or Juvenile Justice Services (JJS). For participants in the custody of the Division of Child and Family Services, the costs of basic and routine support and supervision are not covered as waiver services. Compensation for this routine support and supervision are covered by other funding sources associated with the Division of Child and Family Services. Participants in DCFS/JJS custody are eligible to receive this service only after the provision of this service has been prior-authorized by the participant's support coordinator. Such prior-authorization will occur only after it has been determined that the participant has exceptional care needs that materially affect the intensity or skill level required of the service provider. Evidence that an participant in custody has such exceptional care needs include any one of the following: emotional or behavioral needs such as hyperactivity; chronic depression or withdrawal; bizarre or severely disturbed behavior; significant acting out behaviors; persistent attempts at elopement; habitual alcohol or drug use; sexually promiscuous behavior; sexual perpetration; persistent injurious or destructive behaviors; severe eating disorders including anorexia nervosa, pica or polydipsia; the presence of psychotic or delusional thinking and behaviors; or, the participant otherwise demonstrates the need for 24-hour awake supervision or care in order to ensure the safety of the participant and those around him/her. Additionally, participants in custody of the State of Utah: Department of Human Services, Division of Child and Family Services may only receive this service if they demonstrate medical or personal care needs of an exceptional nature including any one of the following: requiring catheterization or ostomy care; requiring tube or gavage feeding or requires supervision during feeding to prevent complications such as choking, aspiration or excess intake; requires frequent care to prevent or remedy serious skin ailments such as pressure sores or persistent wounds; requires suctioning; requires assistance in transferring and positioning throughout the day; require two or more hours of therapy follow-through per day; requires assistance with multiple personal care needs including dressing, bathing and toileting; requires complex medical, medication or treatment follow-through throughout the day; or, the participant has a complex and unstable medical condition that requires constant and direct supervision.

This service is intended to accomplish a clearly defined set of outcomes associated with the participant's habilitation that is outlined in their individual support plan. Services provided under this service definition are only those that are over and above the basic routine supports provided for through the Division of Child and Family Services.

Provider owned or leased facilities where residential habilitation - DCFS/JJS services are furnished must be compliant with the Americans with Disabilities Act.

Home accessibility modifications when covered as a distinct service under the waiver may not be furnished to individuals who receive residential habilitation - DCFS/JJS services except when such services are furnished in the participant's own home.

Modifications or adaptations to a residence required to assure the health and welfare of residents, or to meet the requirements of the applicable life safety code are the responsibility of the provider.

This service is specific to children with medically complex needs who are currently in DCFS custody. They have higher medical and behavioral needs that are factored into the ultimate rate that is negotiated with providers. Because this is such a limited population with significant needs we are not surprised to see this average daily cost so high. Because this rate is negotiated with providers in the same way other residential rates through DSPD are negotiated we believe that this rate is "consistent with efficiency, economy, and quality of care and are sufficient to enlist enough providers" as stated in 1902(a)(30)(A) of the Social Security Act. Even

State:	
Effective Date	

with the rate at its current level we sometimes have trouble finding providers who are willing to provide services at that rate.				
Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)***:**	☐	Individual. List types:	X	Agency. List the types of agencies:
			Agency - Residential Habilitation - DCFS	

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

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

Service Type: Other Service

Service: Respite Care - Intensive

Alternate Service Title (if any):

Service Specification	
HCBS Taxonomy	
Category 1:	Sub-Category 1:
Category 2:	Sub-Category 2:
Category 3:	Sub-Category 3:
Category 4:	Sub-Category 4:

State:	
Effective Date	

Service Definition (Scope):

Respite Care - Intensive is care provided to give relief to, or during the absence of, the normal caregiver. Intensive level respite care is provided to participants who have complex conditions that require a level of assistance beyond that which is offered by direct service staff under the definition of Respite Care-Routine. Participants receiving Respite Care-Intensive Level services will typically present with a more complex array of physical or behavioral needs than those receiving routine respite care services; meeting at least one of the following conditions to qualify:
-has a documented complex and/or unstable medical condition that requires constant supervision, or a condition that requires prescription medication or treatment follow through throughout the respite time period; or
-has documented behavioral issues that require frequent (at least daily) intervention to prevent property damage or harm to themselves or others; or
-individual requires assistance with multiple personal care needs including dressing, bathing, and toileting; or
-There is a need for specialized skill (such as an interpreter) or specialized equipment in the respite setting to assure health and safety.

Services may include quarter hour, daily and overnight support and may be provided in the participant's place of residence, a facility approved (as determined by Settings Final Rule compliance) by the State that is not a private residence, or in the private residence of the respite care provider. Respite Care-Intensive level services are, because of their more complex nature, delivered by more experienced and sophisticated staff.

The State uses the 929 Intensive Respite Screening form to determine the level of respite that is needed by the participant. To qualify for intensive respite care the individual must meet one of the following conditions:

(1) An individual has a documented complex and/or unstable medical condition that requires constant supervision, or a condition that requires prescription medication or treatment follow through throughout the respite time period.
(2) An individual has documented behavioral issues that require frequent (at least daily) intervention to prevent property damage or harm to themselves or others
(3) An individual requires assistance with multiple personal care needs including dressing, bathing, and toileting. An individual requires assistance with transfers and positioning throughout the day.
(4) There is a need for a specialized skill (such as an interpreter) or specialized equipment in the respite setting to assure health and safety.

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

Limitations: Payments for respite services are not made for room and board except when provided as a part of respite care in a setting, approved by the State that is not the participant's private residence. In the case of respite care intensive services that are rendered out of the participant's private residence in a setting approved by the State, this service will be billed under a specific "Respite Care-Intensive-Out of the home/Room and Board included" billing code. All instances in which Respite Care-Intensive services are delivered for a period of six hours or more within a day shall be billed using a daily rate rather than hourly rates for this service.

This service is not available to children in the custody of the State of Utah: Department of Human Services, Division of Child and Family Services.

This service is not for ongoing daycare nor is this service intended to supplant resources otherwise available for child-care.

Respite care may not be offered at the same time as the person is receiving any other service, either contained within this Home and Community-Based Services waiver or from other sources including the Medicaid State Plan that will afford the person with care and supervision. Respite care may not be offered for relief or substitution of staff paid to provide care and supervision to persons as part of the residential or day habilitation services they receive in this Home and Community-Based Services waiver.

Overnight Respite may not be provided for more than 13 days continuously (not including date of discharge).

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-directed – Respite		Agency based – Respite	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Respite Care – Session

Alternate Service Title (if any):

Service Specification

HCBS Taxonomy	
Category 1:	Sub-Category 1:
Category 2:	Sub-Category 2:

State:	
Effective Date	

Category 3:	Sub-Category 3:
Category 4:	Sub-Category 4:

Service Definition (Scope):

Respite Care – Session is care rendered on a session basis which is provided to relieve, or during the absence of, the normal care giver which is furnished to a covered participant on a short-term basis in a facility or other approved community based entity. This code provides services as a part of camps, summer programs, extended respite programs, overnight camps and programs, and other comparable programs.

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

Limitations: Respite Care-Session shall not be provided in a waiver participant's or immediate family's normal place of residence. Session rates will not exceed the quarter hour maximum payment for 1-24 hours and 1-7 days.

With the exception of specialized therapeutic respite camps, this service is not available to children in the custody of the State of Utah: Department of Human Services, Division of Child and Family Services.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
			Agency based – Respite	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Respite – Routine Group

Alternate Service Title (if any):

Service Specification	
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)**:**

Respite Care- Routine Group is care provided to groups of up to three individuals in a group setting in order to give relief to, or during the absence of, the participants' normal caregiver(s). Routine respite care may include daily and overnight support and may be provided in the participant's place of residence, a facility approved by the State which is not a private residence, or in the private residence of the respite care employee.

Respite - Routine Group can provide services in:

a. A Facility with a staff ratio of one staff for up to six Persons; OR
b. The private residence of a respite staff. Prior to providing services, all individuals who live in the private residence must pass a criminal background screening from the DHS/Office of Licensing. The Contractor shall have a staff ratio of one staff for up to three Persons. The staff's own minor children and other individuals who reside in the residence under the age of 14 are to be included in this ratio. Another adult caregiver caring for the other children under the age of 14 may be counted in this ratio, but only relative to the other children under the age of 14 in the home; OR
c. The Person's residence.

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

Limitations: Payments for respite services are not made for room and board except when provided as a part of respite care in a setting, approved by the State that is not the participant's private residence. In the case of group respite care services that are rendered for a period of six hours or more out of the participant's private residence in a setting approved by the State, this service will be billed under a specific "Respite Care-Group-Out of the home/Room and Board included" billing code.

In the case of services contained within this definition provided in the employee's or the person's home, in no case will more than 3 individuals be served by the employee at any one time, except that the employee's children over the age of 14 will not be counted toward the limit of five. Participants receiving services within the Day Supports or Supported Living services may receive Respite Care-Routine-Group services only on an hourly and not a daily basis and only during times that they are not receiving Day Supports or Supported Living

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services, when the need exists and approval has been granted in advance for the utilization of this service by the appropriate DSPD designee. All instances in which Respite Care-Routine-Group services are delivered for a period of six hours or more within a day shall be billed using a daily rate rather than hourly rates for this service.

This service is not available to children in the custody of the State of Utah: Department of Human Services, Division of Child and Family Services.

This service is not for ongoing daycare nor is this service intended to supplant resources otherwise available for child-care.

Respite care may not be offered at the same time as the person is receiving any other service, either contained within this Home and Community-Based Services waiver or from other sources including the Medicaid State Plan that will afford the person with care and supervision. Respite care may not be offered for relief or substitution of staff paid to provide care and supervision to persons as part of the residential or day habilitation services they receive in this Home and Community-Based Services waiver.

Overnight Respite may not be provided for more than 13 days continuously (not including date of discharge).

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-directed – Respite		Agency based – Respite	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

State:	
Effective Date	

Service: Specialized Medical Equipment/Supplies/Assistive Technology—Monthly Fee

Alternate Service Title (if any):

Service Specification	
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)**:**

Specialized Medical Equipment/Supplies/Assistive Technology—Monthly Fee is a periodic service (e.g., monthly) fees for ongoing support services and/or rental associated with devices, controls, or appliances, specified in the individual support plan, which enable participants to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live.

This service also includes items necessary for life support, ancillary supplies and equipment necessary to the proper functioning of such items, and durable and non-durable medical equipment not available under the Medicaid State plan. Items reimbursed with waiver funds shall be in addition to any medical equipment and supplies furnished under the State plan and shall exclude those items that are not of direct medical or remedial benefit to the participant. All items shall meet applicable standards of manufacture, design and installation.

Automated medication dispensary devices are also included under this service description. Automated medication dispensary devices consist of timed alarmed monitoring systems that have the ability to store and dispense proper dosages of medications at scheduled times as prescribed by the person's medical practitioner(s). Use of medication dispensary devices shall only be an option when more simple methods of medication reminders are determined to be ineffective by the operating agency. The need for such devices must also be specified in the participant's PCSP.

During evaluation and authorization of services, requests for Specialized Medical Equipment are evaluated to confirm no other payers are available and that services have not been duplicated within similar waiver or state plan services.

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

Limitations: Expenditures for specialized medical equipment and the supplies necessary to operate that equipment will be in accordance with Division of Services for People with Disabilities policy and all purchases will comply with State procurement requirements. Each item of specialized medical equipment and supplies necessary for the operation of that equipment must be approved prior to purchase by a DHHS/DSPD Administrative Program Manager based on a determination of medical necessity by a physician or an advanced practice registered nurse with prescriptive privileges and a determination that the item is not available as a Medicaid State Plan service.

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The services under Specialized Medical Equipment/Supplies/Assistive Technology—Monthly Fee are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.				
Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
			Medical Equipment and Supply Suppliers	
			Automated Medication Dispensary Equipment and Supply Suppliers	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Specialized Medical Equipment/Supplies/Assistive Technology—Purchase

Alternate Service Title (if any):

Service Specification	
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):

Specialized Medical Equipment/Supplies/Assistive Technology – Purchase includes the purchase of devices, controls, or appliances, specified in the individual support plan, which enable participants to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live.

This service also includes items necessary for life support, ancillary supplies and equipment necessary to the proper functioning of such items, and durable and non-durable medical equipment not available under the Medicaid State plan. Items reimbursed with waiver funds shall be in addition to any medical equipment and supplies necessary for the operations of that equipment furnished under the State plan and shall exclude those items that are not of direct medical or remedial benefit to the participant. All items shall meet applicable standards of manufacture, design and installation.

Automated medication dispensary devices are also included under this service description. Automated medication dispensary devices consist of timed alarmed monitoring systems that have the ability to store and dispense proper dosages of medications at scheduled times as prescribed by the person's medical practitioner(s). Use of medication dispensary devices shall only be an option when more simple methods of medication reminders are determined to be ineffective by the operating agency. The need for such devices must also be specified in the participant's PCSP.

Elements of Specialized Medical Equipment & Supplies:
The Specialized Medical Equipment & Supplies category includes elements for purchase and for an ongoing service fee.

During evaluation and authorization of services, requests for Specialized Medical Equipment are evaluated to confirm no other payers are available and that services have not been duplicated within similar waiver or state plan services.

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

Limitations: Expenditures for specialized medical equipment and the supplies necessary to operate that equipment will be in accordance with Division of Services for People with Disabilities policy and all purchases will comply with State procurement requirements. Each item of specialized medical equipment and supplies necessary for the operation of that equipment must be approved prior to purchase by a DHHS/DSPD Administrative Program Manager based on a determination of medical necessity by a physician or an advanced practice registered nurse with prescriptive privileges and a determination that the item is not available as a Medicaid State Plan service.

For children under the age of 21, services determined to be medically necessary under the EPSDT benefit are covered pursuant to Section 1905(a) of the Social Security Act.

Service Delivery Method *(check each that applies)*:	☐	Participant-directed as specified in Appendix E	x	Provider managed

State:	
Effective Date	

Specify whether the service may be provided by *(check each that applies)*:	☐	Legally Responsible Person	☐	Relative	☐	Legal Guardian

Provider Specifications				
Provider Category(s) *(check one or both)*:	☐	Individual. List types:	X	Agency. List the types of agencies:
				Automated Medication Dispensary Equipment and Supply Suppliers
				Medical equipment and supply suppliers

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Supported Living

Alternate Service Title (if any):

Service Specification	
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)**:**	
Supported Living constitutes individually tailored hourly support, supervision, training and assistance for people to live as independently as possible in their own homes, family homes and apartments and is offered on a year-round basis. Supported living is available to those who live alone, with family or with roommates. For	

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participants residing with families, Supported Living is intended to provide support to the participant and the family to allow the family to continue providing natural supports and to avoid unwanted out of home placement. Supported living activities are prioritized based upon the participant's assessed needs, but may include maintenance of individual health and safety, personal care services, homemaker, chore, attendant care, medication observation and recording, advocacy, communication, assistance with activities of daily living, instrumental activities of daily living, transportation to access community activities, shopping and attending doctor appointments, keeping track of money and bills and using the telephone; and indirect services such as socialization, self-help, and adaptive/compensatory skills development necessary to reside successfully in the community. This service may also include behavioral plan implementation by direct care staff.

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

Limitations: Participants receiving Supported Living are not eligible to receive separate individual waiver services in addition to Supported Living if the separate services are essentially duplicative of the tasks defined in Supported Living.

Transportation may not be billed for separately and is included in the rate paid.

Participants receiving Supported Living may not receive Residential Habilitation; however, they may receive Day Support Services as long as these services are not provided nor billed for during times when the participant is receiving Supported Living services.

This service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services.

Spouses providing Supported Living services through self-direction are limited to a maximum of 40 hours per week.

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies)*:	x	Legally Responsible Person	x	Relative	x	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-Directed Services Provider		Agency-based – Supported Living	

Provider Qualifications

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

Verification of Provider Qualifications

State:	
Effective Date	

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

Service Type: Other Service

Service: Transportation Services (non-medical)

Alternate Service Title (if any):

Service Specification	
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):

Transportation Services provide waiver participants with the opportunity to access other waiver supports as necessary to encourage, to the greatest extent possible, an independent, productive and inclusive community life. Whenever possible, participants receiving waiver services are trained, assisted, and provided opportunities to use available transportation services offered through family, neighbors, friends or community agencies which can provide this service without charge. If these transportation options are not available or do not meet the needs of the waiver enrollee, waiver non-medical transportation becomes an option.

Transportation Supports are only provided as independent waiver services when transportation is not otherwise available as an element of another waiver service. The need for transportation must be documented as necessary to fulfill other identified supports in the individual support plan and the associated outcomes.

During audit, the OA monitors for the billing of Transportation Services and validates that the trips met criteria to be billed as supplemental services.

Elements of Transportation Services:
The Transportation Services category consists of elements for enrollee/family arranged transportation, for transportation by an agency-based provider, and for a multi-pass for a public transit system.

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

Limitations: Medicaid payment for transportation under the approved waiver plan is not available for medical transportation. Medical transportation is defined as transportation covered by the State Plan that transports participants to medical services that are covered by the State Plan. In addition, Medicaid payment is not available for any other transportation available through the State plan, transportation that is available at no charge, or as part of administrative expenditures. Additional transportation supports will not be available to community living, day habilitation, or supported employment providers contracted to provide transportation to and from the person's residence to the site(s) of a day program when payment for transportation is included in the established rate paid to the provider.

Transportation may not be offered to those who receive residential or supported living services that include transportation, as well as to those who receive day supports or supported employment services (specifically customized employment or supported employment–individual or supported employment co-worker that include transportation.

Transportation includes both a per trip rate for the purposes of habilitation in the community as well as a daily rate that provides for transportation to and from organized day-supports or supported employment activities.

Additionally, this service is not available to children in the custody of the State of Utah: Department of Health and Human Services, Division of Child and Family Services for the purposes of visitation to a family home as the State perceives this to supplant service to be provided by DCFS.

Training for individuals in how to navigate public transportation does not fall under the scope of Transportation Services.

Service Delivery Method *(check each that applies)*:	x	Participant-directed as specified in Appendix E	x	Provider managed

Specify whether the service may be provided by *(check each that applies):*	☐	Legally Responsible Person	x	Relative	☐	Legal Guardian

Provider Specifications

Provider Category(s) *(check one or both)*:	X	Individual. List types:	X	Agency. List the types of agencies:
	Self-Directed Service Provider		Agency-base – Non-Medical Transportation	

Provider Qualifications

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

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

State:	
Effective Date	

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.	
X	**Applicable** – Case management is furnished as a distinct activity to waiver participants. Check each that applies:	
	X	As a waiver service defined in Appendix C-3 *Do not complete item C-1-c.*
	☐	As a Medicaid state plan service under §1915(i) of the Act (HCBS as a State Plan Option). *Complete item C-1-c.*
	☐	As a Medicaid state plan service under §1915(g)(1) of the Act (Targeted Case Management). *Complete item C-1-c.*
	☐	As an administrative activity. *Complete item C-1-c.*
	☐	As a primary care case management system service under a concurrent managed care authority. *Complete item C-1-c.*

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

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Appendix C-2: General Service Specifications

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)*:

X	**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):
	UCA 62A-2-120 and R501-14 of the Utah Health and Human Services Administration requires all persons having direct access to children or vulnerable adults must undergo a criminal history/ background investigation except in the case where the waiver enrollee has chosen to self-employ a family member as part of their self-directed program. If the person has lived in Utah continuously for five years or more a regional check is conducted. For those not having lived in Utah for five continuous years a national check through the FBI is conducted. The Office of Licensing, an agency within the Utah Department of Health and Human Services has the responsibility of conducting background checks on all direct care workers who provide waiver services. The scope of the investigation includes a check of the State's child and adult abuse registries, and a Criminal History check through the Criminal Investigations and Technical Services Division of the Department of Public Safety. If a person has lived within two to five years outside the State of Utah or in foreign countries the FBI National Criminal History Records and National Criminal History will be accessed to conduct a check in those states and countries where the person resided. For providers under the Self-Directed Service Model, the state will withhold payments for services for anyone who has not completed a background check. DSPD, through its contracted fiscal intermediaries, has access to all approved employees. Individuals hired through self-direction may not provide service, without supervision, until their background checks are returned and they are authorized to perform service. The health and safety of clients are ensured by routinely scheduled face-to-face visits by support coordinators, and by quality monitoring reviews by both the operating agency and the SMA. The State uses contract reviews of providers (including Financial Management Services agencies for individuals using self-direction) to validate that mandatory background checks are completed. Validation of background checks may also occur during the review of critical incidents.
◯	**No**. Criminal history and/or background investigations are not required.

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

X	**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

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	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):
	Utah Code (Annotated) 62A-2-121, 122 and R501-14 of the Utah Administrative Code require all persons having direct access to children or vulnerable adults must undergo an abuse screening. The Utah Division of Aging and Adult Services and Tthe Utah Division of Child and Family Services maintain these abuse registries. A designated staff person within DHHS, Office of Licensing, completes all screenings. DSPD, through its contracted fiscal intermediaries, has access to all approved employees and will not approve continued employment or provider payments if the required screenings have not been completed in a timely fashion. The State uses contract reviews of providers (including Financial Management Services agencies for individuals using self-direction) to validate that mandatory abuse registry checks are completed. Validation of abuse registry checks may also occur during the review of critical incidents.
◯	**No**. The state does not conduct abuse registry screening.

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

X ◯	**No**. Home and community-based services under this waiver are not provided in facilities subject to §1616(e) of the Act. *Do not complete Items C-2-c.i – c.iii.*
◯	**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). *Complete Items C-2-c.i –c.iii.*

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

Type of Facility	Waiver Service(s) Provided in Facility	Facility Capacity Limit

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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.

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

Standard	Topic Addressed
Admission policies	☐
Physical environment	☐
Sanitation	☐
Safety	☐
Staff : resident ratios	☐
Staff training and qualifications	☐
Staff supervision	☐
Resident rights	☐
Medication administration	☐
Use of restrictive interventions	☐
Incident reporting	☐
Provision of or arrangement for necessary health services	☐

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:

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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 (c) the legal guardian of an adult. 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.
X	**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-3 the personal care or similar services for which payment may be made to legally responsible individuals under the state policies specified here.*
	(a) Spouses and parents/guardians of waiver participants may be eligible to perform Supported Living in accordance with the definition for extraordinary care below and per the CMS Technical Guide, Version 3.6 (b) To ensure the use of a legally responsible person to provide services is in the best interest of the participant, the following criteria must be met and documented in the participant's Person-Centered Support/Service Plan/Comprehensive Care Plan: 1. Choice of the legally responsible person to provide waiver services truly reflects the participant's wishes and desires; 2. The provision of services by the legally responsible person is in the best interests of the participant and the individual's family; 3. The provision of services by the legally responsible person is appropriate and based on the participant's identified support needs; 4. The services provided by the legally responsible person will increase the participant's independence and community integration; 5. There are documented steps in the PCSP that will be taken to expand the participant's circle of support so that the individual ~~he or she~~ is able to maintain and improve ~~his or her~~ health, safety, independence, and level of community integration on an ongoing basis should the legally responsible person acting in the capacity of employee no longer be available; 6. The legally responsible person must sign a service agreement to provide assurances to the State/OA that the legally responsible person ~~he or she~~ will implement the service plan and provide the services in accordance with applicable federal and State laws and regulations governing the program. (c) From a financial perspective, the prior authorization of hours/coordination with FMS agencies will be used as a control, in addition to daily/weekly maximum ~~of~~ hours determined to be extraordinary care. State staff members will provide additional oversight and coordinate with Case Managers/Support Coordinators to ensure health and safety objectives are maintained, both for the waiver participant and the spouse/parent/guardian rendering care. In the approval process for spousal and parent/guardian caregiver compensation, the state will conduct a holistic review of the individual's supports, including the likelihood of jeopardizing

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the well being of the spouse/ or parent/guardian if engaging in additional direct care. (Caregiver burnout; physical limitations with needed ADL assistance; etc.)

The State uses the following definition for Extraordinary Care:

Extraordinary care means care exceeding the range of Activities of Daily living (ADLs) or Instrumental Activities of Daily Living (IADLs) that a legally responsible individual would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age and which is necessary to assure the health and welfare of the participant and avoid institutionalization. Extraordinary care can include specialized skills/tasks which need to be performed for the waiver participant.

Spouses/Parents/Guardians may be eligible to perform direct care when all of the following conditions are met:
1. The proposed provider is the choice of the participant, which is supported by the team;
2. When not also directing services on behalf of the participant;
3. The legally responsible person provides no more than 40-hours per week of the service that the agency approves the legally responsible person to provide; and
4. The legally responsible person has the unique ability to meet the needs of the participant (e.g. has special skills or training, like nursing licensure).

This benefit/allowance for the delivery of Supported Living Services is limited to parents, guardians, and family members who would be considered primary caregivers for the waiver participant. Otherwise, it would be anticipated that respite services and other waiver supports would be explored.

The family's assigned FMS agency will be responsible for monitoring hours used, processing time sheets, and ensuring EVV compliance (where applicable). The Support Coordinator will also review paid claims in addition to working with the family's selected FMS as part of periodic contacts with the family.~~also review paid claims in addition to working with the family's selected FMS and also review as part of periodic contacts with the family~~.
The State may make payments to legally responsible individuals or legal guardians when conditions have been met as described above. The State also allows payments to relatives when the relative is qualified to provide services as specified in Appendix C-3. The State will not pay non-legally responsible caregivers to provide waiver services when they are already being paid by another source to care for the recipient (i.e., foster parents).

The Support Coordinator will verify that services provided are appropriate and furnished in the best interest of the recipient at the time a formal review of the care plan is completed, at least annually or more frequently as necessary, to ensure services continue to meet the needs of the waiver participant. Additionally, on an annual basis, Medicaid will complete a sample review of claims for waiver services rendered to verify the service was authorized and did not exceed the amounts authorized in the care plan.

The State will use the sampling methodology required by CMS when calculating sample sizes. (Currently a 95% confidence interval, 5% margin of error and 50% response distribution). Care plans for those individuals will be compared to actual claims billed and recoupments initiated for those who had utilization exceed authorized amounts.
Payment for services is restricted to Supported Living Services. The amount of hours/services is limited to the overall number of hours established in the service plan.

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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.*
X	**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.
	Relatives may not provide services to multiple participants at the same time, but relatives may provide more than one service to a participant with the limitation that the services may not be provided at the same time. For example, a relative may be a provider of both personal care and respite services, but they would not be eligible to bill for both services concurrently. For Relatives: Support Coordinators conduct monthly reviews of all services provided before claims are paid. Support Coordinators monitor the use of services as defined in the Support Plan. DSPD conducts random sample audits each year on the self-administered services (SAS) programs that focus on service usage and interviews with clients and employees about service utilization. DSPD monitors service utilization each month and if there is any indication of fraud or abuse of funds, DSPD immediately notifies the contract monitoring units so a more in-depth audit will be performed to verify if any fraud or abuse of funds occurred. Relatives may include immediate family such as brothers or sisters, or extended family such as aunts/uncles/cousins. It is not the intention to limit any familial relationships provided the needed services can be safely performed by the prospective provider. Whenever a legally responsible individual or relative/legal guardian is paid for the provision of a waiver service, the person must meet the provider qualifications that apply to a service and there must be a properly executed provider agreement, or employment facilitated through self-administered services as outlined in Appendix E. Spouses and Parents/Guardians are limited to providing Supported Living Services, however relatives may perform any waiver service they meet minimum qualifications for. The State also allows payments to relatives when the relative is qualified to provide services as specified in Appendix C-3. The State will not pay non-legally responsible caregivers to provide waiver services when they are already being paid by another source to care for the recipient (i.e., foster parents). The Support Coordinator will verify that services provided are appropriate and furnished in the best interest of the recipient at the time a formal review of the care plan is completed, at least

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	annually or more frequently as necessary, to ensure services continue to meet the needs of the waiver participant. Additionally, on an annual basis, the State will ~~a sample~~ review a sample of claims for waiver services rendered ~~will be conducted~~ to verify the service was authorized and did not exceed the amounts authorized in the care plan. The State will use the sampling methodology required by CMS when calculating sample sizes. (Currently a 95% confidence interval, 5% margin of error and 50% response distribution). Care plans for those individuals will be compared to actual claims billed and recoupments initiated for those who had utilization exceed authorized amounts.
◯	Other policy. *Specify*:

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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:

The Utah Department of Health and Human Services will enter into a provider agreement with all willing providers who are selected by participants and meet licensure, certification, competency requirements and all other provider qualifications.

The Utah Department of Health and Human Services in conjunction with the Bureau of Contract Management will issue an Invitation to Submit Offer (ISO) for the purpose of entering into a contract with willing and qualified individuals and public or private organizations.

The ISO is distributed to all qualified providers and remains open, allowing for continuous recruitment. The request includes service requirements and expectations. A review committee evaluates the proposals against the criteria contained in the ISO and selects those who meet the qualifications.

A specific time frame is not established to process a provider's enrollment, but a provider may not begin performing service until all required elements of contracting are completed.

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.

i. 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.

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

Performance Measure:	*Number and percentage of licensed/certified providers that meet criteria both at initial enrollment and ongoing. The numerator is the number of providers in the review which meet licensure/certification criteria prior to furnishing waiver services and on-going; the denominator is the total number of providers reviewed.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
DHHS Contract Analyst Certification checklist and DHHS Office of Licensing Residential Support Rules checklist			
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*
	☐ State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*
	☐ Operating Agency	*☐ Monthly*	*X Less than 100% Review*
	☐ Sub-State Entity	*☐ Quarterly*	*X Representative Sample; Confidence Interval =*
	X Other Specify:	*X Annually*	*95% Confidence Level, 5% Margin of Error*
	DHHS Office of Licensing	*☐ Continuously and Ongoing*	*☐ Stratified: Describe Group:*
		☐ Other Specify:	
			☐ Other Specify:

Add another Data Source for this performance measure

Data Aggregation and Analysis

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

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

Add another Performance measure (button to prompt another performance measure)

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

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of Self-Directed Services (SAS) providers who have a Self-Directed Services Agreement in place. The numerator is the number of family directed service providers in compliance; the denominator is the total number of family directed service providers reviewed.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
Billing data, Employee files, PCSP and Participant records			
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*
	☐ *State Medicaid Agency*	☐ *Weekly*	*X 100% Review*
	X Operating Agency	☐ *Monthly*	☐ *Less than 100% Review*
	☐ *Sub-State Entity*	☐ *Quarterly*	☐ *Representative Sample; Confidence Interval =*

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

Add another Data Source for this performance measure

Data Aggregation and Analysis

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

Add another Performance measure (button to prompt another performance measure)

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.

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of provider agencies that have a process to assure staff receive all required training. The numerator is the total*

	number of provider agencies in compliance with training requirements; the denominator is the total number of providers requiring training.

Data Source *(Select one) (Several options are listed in the on-line application):*

If 'Other' is selected, specify:

Provider records

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

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
X Other Specify:	*X Annually*
DHHS	*☐ Continuously and Ongoing*
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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.*

DSPD reviews provider sites to assure that they are safe and in good repair. DSPD also interviews available direct care staff to determine if they have knowledge of participant goals and can describe progress that is made on each goal. In addition, provider staff are interviewed to determine if they received training on a participant's behavior support plan and if they are knowledgeable of problem behaviors and strategies to decrease problem behaviors.

Support coordinators monitor provider staff to assure that staff are able to describe participant goals and progress on the goals. Support coordinators also monitor a sample of self-administered services (SAS) employees on a monthly basis. The support coordinators complete a review checklist, which covers employee files, forms, and appropriate training for staff. Time sheets are reviewed to ensure proper billing for services. In most cases, support coordinators meet in person with employees to confirm proper training and work hours. Providers of services for the Community Transitions Waiver must complete all required training as specified in the State Implementation Plan. The USTEPS system tracks the expenditures for each participant and ensures that services remain within the allotted budget.

b. Methods for Remediation/Fixing Individual Problems

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

Individual issues identified that affect the health and welfare of individual recipients are addressed immediately. These issues are addressed in a variety of ways, and may include: a) direct contact for additional information if any, and b) informal discussion or formal (written) notice of adverse findings. The SMA will use discretion in determining notice requirements depending on the findings. Examples of issues requiring intervention by the SMA would include: overpayments; allegations or substantiated violations of health and safety; necessary involvement of Adult Protective Services (APS) and/or local law enforcement; or issues involving the State's Medicaid Fraud Control Unit.

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)*

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	X State Medicaid Agency	*☐ Weekly*
	X Operating Agency	*☐ Monthly*
	☐ Sub-State Entity	*☐ Quarterly*
	☐ Other: Specify:	*X Annually*
		☐ Continuously and Ongoing
		☐ Other: Specify:

c. ***Timelines***

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

X	**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-4: Additional Limits on Amount of Waiver Services

Additional Limits on Amount of Waiver Services. Indicate whether the waiver employs any of the following additional limits on the amount of waiver services *(check each that applies)*.

X	**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; and, (f) how participants are notified of the amount of the limit.

☐	**Limit(s) on Set(s) of Services**. There is a limit on the maximum dollar amount of waiver services that is authorized for one or more sets of services offered under the waiver. *Furnish the information specified above*.
☐	**Prospective Individual Budget Amount**. There is a limit on the maximum dollar amount of waiver services authorized for each specific participant. *Furnish the information specified above*.
☐	**Budget Limits by Level of Support**. Based on an assessment process and/or other factors, participants are assigned to funding levels that are limits on the maximum dollar amount of waiver services. *Furnish the information specified above*.
☐	**Other Type of Limit.** The state employs another type of limit. *Describe the limit and furnish the information specified above.*

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Appendix C-5: Home and Community-Based Settings

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

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

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

The CTW is fully compliant with HCBS setting requirements.

Support Coordinators will be responsible for oversight and ongoing monitoring of the settings in which waiver services are being provided.

In the course of quality assurance activities, additional settings compliance monitoring will be conducted by the operating agency and State Medicaid Agency.

1. Waiver participants will receive services in settings that meet the following indicators of compliance with the Settings Rule:
The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.
The setting is selected by the individual from among setting options, including non-disability specific settings and an option for a private unit in a residential setting. The settings options are identified and documented in the person-centered plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.
The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.
The setting optimizes but does not regiment individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.
The setting facilitates individual choice regarding services and supports, and who provides them.
The setting enforces the Home and Community-Based Settings Regulation requirements.

In addition, residential settings will also need to meet the following indicators of compliance with the Settings Rule:
The individual has a lease or other legally enforceable agreement providing similar protections.
The setting ensures the individual has privacy in their sleeping or living unit including lockable doors, choice of roommates, and freedom to furnish or decorate the unit.
The setting ensures the individual has the freedom and support to control his/her own schedule and activities, and have access to food at any time.
The individual can have visitors of his/her choosing at any time.
The setting is physically accessible to the individual.

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The setting ensures that any modification of the HCBS Settings qualities and conditions is supported by a specific assessed need and justified in the person-centered support plan.
These specific settings will include day service centers, community-based day services, personal or family residences, provider owned residences, and any private or publicly owned community site including, but not limited to, libraries, parks, recreation centers, and theaters.

The state has reviewed self-assessments of all current providers and followed up with remediation plans. A site visit was done to validate the self-assessments and a second site visit was completed to review progress on any remediation concerns. ~~A stakeholder workgroup is in the process of reviewing the site visit reports and determining compliance or the need for further remediation with the state.~~ The indicators were used in the site visit process which included observation and interviews with consumers, direct care staff, and administration of each provider agency reviewed.

2. All new providers are required to participate in a training on the Settings Rule criteria when they apply for a new contract with the Medicaid Operating Agency to provide Medicaid services to participants on this waiver. For settings that are provider owned, the licensing entity requires the Utah Settings Rule Attestation and a Self-Assessment to be filled out by the provider agency and submitted with their application for licensure or certification. The licensing entity will conduct an on-site inspection and identify if the site meets licensing or certification standards, as well as the Settings Rule. This information, including the attestation and self-assessment will be sent to the quality review entity who will review all the information in addition to the provider agencies policies, and conduct a phone interview regarding how the provider plans to deliver services in the new setting. The quality review entity will identify if an initial approval can be provided or if remediation and further review will be necessary. Once the initial approval is given, the licensing entity will be notified and will issue the license or certification. The provider agency will be given approval at this point to provide services in the new site. If the provider agency plans to also provide services to non-medicaid recipients, those recipients will be provided services first.The quality review entity will subsequently make a visit to the new site to review how services are being delivered and ensure they are in compliance with the Settings Rule or determine if remediation and further review will be necessary. Those settings found to have isolating features that they have overcome will be required to go through the heightened scrutiny process. Those settings that are found to have isolating features that chose not to or can not overcome will be disenrolled as a Medicaid provider.

Any HCBS setting pulled for monitoring by the quality assurance entity of the Medicaid Operating Agency will be monitored for HCBS Setting Rule compliance using the indicators mentioned above. Follow up and resolution measures for any noncompliance areas will be completed on a site by site evaluation by the State. All HCBS settings will be assessed in the ongoing monitoring process. Case management, licensing & certification, and quality management review processes will include HCBS Setting Rule compliance monitoring.
Strategies to ensure ongoing compliance include:
Conducting periodic Participant Experience Surveys;
Building questions from the HCBS Settings Rule into annual support planning processes;
Settings policy guidance as defined by provider manuals and State Implementation Plans;
Ongoing provider certification that they have received information about and understand the HCBS Setting Requirements

The State will continue to engage Stakeholders to evaluate progress, identify areas of concern, and propose solutions.

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Appendix D: Participant-Centered Planning and Service Delivery

Appendix D-1: Service Plan Development

State Participant-Centered Service Plan Title:	Person Centered Support Plan (PCSP)

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 *(check 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)**
X	**Case Manager** (qualifications specified in Appendix C-1/C-3)
☐	**Case Manager** (qualifications not specified in Appendix C-1/C-3). *Specify qualifications*:
☐	**Social Worker** *Specify qualifications:*
☐	**Other** *Specify the individuals and their qualifications:*

b. Service Plan Development Safeguards.

Select one:

X	**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*:

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.

In accordance with CFR 441. 301 (c) (1), the waiver includes the following processes to support the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in support plan development:

(1) Person-centered planning process. The support coordinator is responsible to ensure the individual leads the person-centered planning process where possible. As a part of pre-planning the support coordinator works with the individual to determine the role they would like to have in their upcoming meeting, any accommodations or support they may need to accomplish this task, as well as any preparatory work that may be required to help them be successful. The individual's representative has a participatory role, as needed and as defined by the individual, unless State law confers decision-making authority to the legal representative. All references to individuals include the role of the individual's representative. In addition to being led by the individual receiving services and supports, the person-centered planning process:

(i) Includes people chosen by the individual. The support coordinator utilizes the pre-planning process to ask the individual who they would like to attend their person-centered planning meeting.

(ii) Provides necessary information and support to ensure that the individual directs the process to the maximum extent possible, and is enabled to make informed choices and decisions. In addition to accommodations, supports, and preparation provided by the support coordinator to the individual to help them lead their person-centered planning process, accommodations are made to ensure the individual can make informed choices and decisions. For example, the individual can take their plan home to think about it if they wish; pictures or graphics can be used to represent information in the plan (although a written plan is also required); the support coordinator can coordinate experiences for the individual to increase their understanding of other services, community settings, or providers that are available to them; etc.

(iii) Is timely and occurs at times and locations of convenience to the individual. As a part of the pre-planning process the support coordinator works with the individual to determine times and locations that will work for them and their chosen team. It is recommended that the support coordinator begin the pre-planning process several weeks prior to the end of the previous 12 month cycle to ensure all aspects of the process are completed in a timely manner, and times and locations are convenient for the individual.

(iv) Reflects cultural considerations of the individual and is conducted by providing information in plain language and in a manner that is accessible to individuals with disabilities and persons who are limited English proficient, consistent with CFR 435.905(b). Support coordinators are responsible to ensure the meeting is conducted in plain language and in a manner accessible to the individual. The support coordinator assists individuals who are limited English proficient to utilize Medicaid contracted interpretive services at no cost to the individual including oral interpretation and written translations. Access to and use of auxiliary aids and services is supported by the support coordinator and/or team at no cost to the individual in accordance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act. The support coordinator informs individuals of the availability of the accessible information and language services described in this paragraph and how to access such information and services.

(v) Includes strategies for solving conflict or disagreement within the process, including clear conflict-of-interest guidelines for all planning participants. The support coordinator must authorize services according to documented and assessed needs, and the individual's choice and preferences. If assessments and/or other documentation do not support needs described by some members of the team, or documentation is conflicting, a new assessment can be requested of State staff. The support coordinator must inform the family they can request a fair hearing in the event services are reduced, terminated, or denied as a part of the planning process. State staff provide timely notice of hearing rights in writing to the individual. Additionally, individuals can contact constituent services at the State Medicaid Agency (SMA) or the Operating Agency (OA) at any point there is conflict or they are in disagreement with the process.

(vi) Providers of Home and Community Based Services (HCBS) for the individual, or those who have an interest in or are employed by a provider of HCBS for the individual must not provide case management or develop the person-centered support plan, except when the State demonstrates that the only willing and qualified entity to provide case management and/or develop person-centered support plans in a geographic area also provides HCBS. In these cases, the State must devise conflict of interest protections including separation of entity and provider functions within provider entities, which must be approved by Centers for Medicare and Medicaid Services (CMS). Individuals must be provided with a clear and accessible alternative dispute resolution process.

(vii) Offers informed choices to the individual regarding the services and supports they receive and from whom. Support coordinators are responsible to support individuals to make informed choices and decisions. For example, the support coordinator can suggest that the individual take their plan home to think about it if they wish; use pictures or graphics to represent information in the plan (although a written plan is also required); coordinate experiences for the individual to increase their understanding of other services, community settings, or providers that are available to them; etc.

(viii) Includes a method for the individual to request updates to the plan as needed. The support coordinator informs the individual they may be contacted at any time to update the plan as needed.

(ix) The support coordinator records the alternative home and community-based settings that were considered by the individual on the person-centered support plan.

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):

The Support Coordinator works in concert with the entire PCSP team to develop the PCSP. The PCSP team meets together at scheduled times and locations convenient to both the waiver participant and other individuals whom the participant has invited to participate. The Support Coordinator is responsible to work with the individual and their authorized representative (if applicable) to negotiate a time and location which meets the preferences and schedules of those who will be participating in the planning meeting. As part of the process to develop the PCSP, the PCSP team identifies the waiver participant's strengths, goals, preferences, needs, capacities, and desired outcomes. The PCSP is developed and implemented in a manner that supports the waiver participant and recognizes the individual as central to the process. The Support Coordinator also works with the PCSP team to enable and assist the participant to identify and access a unique mix of services to meet the participant's assessed needs.

The PCSP is reviewed as frequently as necessary, with a formal review at least annually, and is completed during the calendar month in which it is due. Annual individual budgets are developed with sufficient funds allocated to cover the array of services indicated on the PCSP. The PCSP and the budget are reviewed by the PCSP team and must be agreed upon by the participant or the participant's legal representative and the Support Coordinator. Initial budgets and any subsequent increase to a budget must also be approved by the Division of Services for People with Disabilities (DSPD). The PCSP and the budget are changed during the course of the year, as needed, to address participants' changing needs.

The primary assessment tool utilized to support plan development is the Utah Comprehensive Assessment of Needs and Strengths (UCANS). Other assessments include: review of the previous year's assessment, person-centered planning tools, the Person-Centered Profile, and educational, psychological, psychiatric, medical and other therapy evaluations as needed.

a) who develops the plan, who participates in the process, and the timing of the plan:

The Support Coordinator has ultimate responsibility to develop the PCSP; however, it is the entire PCSP team's responsibility to participate in and develop the PCSP. The PCSP is reviewed and updated at least once a year with changes made throughout the year based on the participant's needs. When making necessary changes during the plan year, the Support Coordinator can choose to complete a whole new plan or make modifications (addendums) to the existing plan. The waiver participant or the participant's legal representative may also request updates or changes to the existing plan outside of annual, formal reviews of the PCSP. Such requests would be addressed directly with the participant's Support Coordinator. Once approved, service authorizations are provided to each of the selected agencies with the amount, frequency, duration, type and scope of the services they have been requested to provide. The Support Coordinator works with the individual and the selected provided to determine service schedules (should the individual require assistance).

A final copy of the PCSP is constructed and signed by the participant or their legal representative and is shared with the participant. A copy is retained by the OA.

(b) the types of assessments that are conducted to support the plan development process, including securing information about participant needs, preferences and goals, and health status:

The CTW utilizes a comprehensive approach to support plan development. The Utah Comprehensive Assessment of Needs and Strengths (UCANS) is the primary assessment tool

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for the development of the Person Centered Support Plan (PCSP)., enhanced by a module assessing the level of supervision a participant requires for successful and safe habilitation in their communities as well as a risk assessment module. Other important assessments include: person-centered planning tools, the Person-Centered Profile, educational assessments, psychological assessments, psychiatric assessments, medical assessment, other therapy evaluations as needed and the review of the past year.

(c) how the participant is informed of the services that are available under the waiver:

Prior to the initial planning meeting, the participant or the participant's legal representative is informedgiven a list of all the services provided on the CTW including the definition of each service. In addition, the list of CTW services is found on the DSPD web site.

(d) how the plan development process ensures that the support plan addresses participant goals, needs (including health care needs), and preferences:

The UCANS is a structured method to document what has been learned about the person and directly bridges the gap between assessing and planning. The UCANS is administered by specially trained DSPD assessment specialists prior to the initial planning meeting and at least annually, thereafter, or more often as determined by the Support Coordinator. The Support Coordinator will talk to the waiver participant about what they want for their life plan in the six life domain areas suggested by Charting the LifeCourse. These include: daily life and employment, community living, healthy living, social and spirituality, safety and security, and advocacy and engagement. Activities that the person indicates verbally or by their behavior is very important to them are identified. These include the person's passions, values, interests, preferences and personal goals. Health and safety concerns, risk factors and habilitation and training needs are identified as important for the participant.

The UCANS is also reviewed prior to the annual planning meeting (or whenever the Support Coordinator deems necessary) to determine if it continues to accurately reflect the needs of the participant. At the annual planning meetings, the PCSP team discusses any additional information and determines any changes that need to be made to the support plan.

(e) how waiver and other services are coordinated:

The PCSP lists all the person's supports and services including: Formal/Written Support Strategies, Medicaid State Plan Services, Natural Supports, One-Time and On-Going, Behavior Supports and Psychotropic Med Plans, Specific Medical, Skill Training, Opportunities, Relationship Development, etc.

(f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan:

The PCSP contains information about specific CTW services, including details on amount, duration, and frequency. It also includes supports and services, who is providing the support, date the support will begin and end, and details including: provider requirements such as objectives, methods, procedures, data reporting, etc. The PCSP also includes information related to communication and coordination of services or supports with others. The payment source is also identified. For supports funded by the CTW, the name of the contracted provider, the service code, and the requirement for support strategies and provider quarterly and/or monthly

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summaries are documented. The Support Coordinator is responsible to monitor service provision on at least a monthly basis. This may involve direct contact with the participant, working with the servicing provider to determine progress/outcomes on assessed goals, and is also responsible for reviewing provider requests for reimbursement.

(g) how and when the plan is updated, including when the participant's needs change.
The PCSP is reviewed and revised as frequently as necessary to address the participant's changing needs. A formal review occurs at least annually and is completed during the calendar month in which it is due.

Once the participant agrees to the PCSP, it will be sent to providers for them to sign electronically through the operating agency's online system. Provider signatures will be provided via clicking on a button and the user will be captured along with a timestamp of the signature. This will ensure that providers responsible for implementing the PCSP agree to their part in implementing the plan and are aware of what other services are being provided. Providers will have full and complete access to view the PCSP in its entirety. A finalized copy will also be provided to the participant or participant's legal representative.

~~In addition to the activities outlined above, the proposed assessment will be subject to all public input as described in the waiver. For all changes in services or operations of the waiver, the State establishes and uses a public input process in accordance with 42 CFR 441.304(f).~~

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 primary tool for assessing risk is the UCANS. These items are reviewed by the Person Centered Support Plan (PCSP) team and addressed in the PCSP as needed. Back up plans, which may consist of alternate staffing strategies, natural supports, phone numbers, and/or plans for preparing for a disaster are developed and incorporated into support strategies. Services that address risk are identified and included in the PCSP.

Prior to the planning meeting, the DSPD assessment specialist completes the initial UCANS by interviewing the participant, family, and provider staff to identify items important "for" the participant. These include health and safety areas of need and risk. Other assessments and the results of the past year's supports are also reviewed. During the planning meeting, the PCSP team reviews items identified as areas of concern. Decisions are made based on the participant's identified needs, supports, and services. Risks are described in support strategies and are tracked in m~~M~~onthly log~~Progress N~~notes from the Support Coordinator~~service provider~~. Risks and responses to risks are also noted in the Plan Backup section of the PCSP. PCSP teams should identify potential risks and write a response plan to address those risks. This would include but is not limited to: length of time before responding, what to do when responding, and who to contact if appropriate for the risk. Support strategies and services that address risks are followed up and addressed by Support Coordinators during visits with participants, families, and providers. Issues are discussed with the Support Coordinator's supervisor and other pertinent individuals. DSPD Program Specialists and other DSPD staff are available to provide consultation to Support Coordinators for the mitigation of risks.

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.

Upon enrollment, the participant and/or legal representative are informed of all available qualified providers of waiver services in a manner consistent with their individual needs. This also occurs annually thereafter and when changes occur to the PCSP, specifically during the PCSP planning meeting.

Each participant or legal representative is directed to the DSPD website for information regarding contracted providers. The USTEPS case management system used to develop the PCSP includes pull down lists of all current providers for each specific waiver service. Additionally, the DSPD website contains a list with contact information for all contracted providers.

As a part of the support planning process or at any point the individual requests a change in provider, the support coordinator sends an Invitation to Submit an Offer (ISO) to all enrolled DSPD providers. The individual is then provided with a list of providers who responded to the ISO stating that they are willing and able to serve the individual. The support coordinator then assists the individual to exercise informed choice through interviews, site visits, and/or experiences in order to make their selection.The participant's choice of providers of services is documented on the PCSP.

The process for assisting individuals to obtain information about and select from qualified providers reflects cultural considerations of the individual and is conducted by providing information in plain language and in a manner that is accessible to individuals with disabilities and persons who are limited English proficient, consistent with CFR 435.905(b). Support Coordinators are responsible to ensure information is presented in plain language and in a manner accessible to the individual. The Support Coordinator assists individuals who are limited English proficient to utilize Medicaid or OA contracted interpretive services at no cost to the individual including oral interpretation and written translations. Access to and use of auxiliary aids and services is supported by the Support Coordinator and/or team at no cost to the individual in accordance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act. The Support Coordinator informs individuals of the availability of the accessible information and language services described in this paragraph and how to access such information and services.

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 State Medicaid Agency (SMA) retains final authority for oversight and approval of the support planning process. The oversight function involves reviews, occurring at a minimum of every two years, of a representative sample of waiver enrollee's support plans that will be sufficient to provide a confidence level equal to 95% and a confidence interval equal to five. A response distribution equal to 50% will be used to gather baseline data for the first waiver year. Baseline data will be collected over a two year period with 50% of the total sample size collected each year. The response distribution used for further reviews will reflect the findings gathered during the baseline review.

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**
X	**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**
X	**Operating agency**
☐	**Case manager**
☐	**Other** *Specify:*

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Appendix 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 entire Person Centered Support Plan (PCSP) team will work with the participant to identify goals. Support Coordinators have the ultimate responsibility to employ a person centered approach during the goal identification process and will utilize that same approach to develop and complete the PCSP prior to implementation.

If any interested party believes that the PCSP is not being implemented as outlined, or receives a request from the participant and/or legal representative, they should immediately contact the Support Coordinator to resolve the issue by following the informal and, if necessary, the formal resolution process as identified in Appendix F.

The Support Coordinator is responsible for ensuring that the PCSP is reviewed and updated as necessary to:
1. Record the participant's progress (or lack of progress)
2. Determine the continued appropriateness and adequacy of the participant's services; and
3. Ensure that the services identified in the PCSP are being delivered and are appropriate for the participant.

The PCSP is updated or revised as necessary by the Support Coordinator. Any changes which result in an increase to the budget are reviewed and approved through DSPD.

The Support Coordinator monitors the implementation of the PCSP by doing the following:
1. Regularly scheduled face to face visits with the person as outlined by the Support Coordinator contract. ~~(while quarterly face to face visits is the standard, the Support Coordinator has the discretion to conduct face to face visits with the client more frequently than quarterly.~~ In all cases, frequency will be dependent on the assessed needs of the participant ~~client~~ and will not exceed 90 days without a face to face visit).
2. Reviews of progress reports authored by the service provider.
3. Working and meeting with support providers and families to ensure that participants are receiving quality supports in the environment of their choice.

In order to accomplish these implementation and monitoring activities, Support Coordinators and officials of the Operating Agency and the SMA are afforded access to the participants that they serve at all times, with or without prior notice.

Monitoring of PCSPs is conducted at least every two years by DHHS/DSPD and at least every five years by the SMA. The sample size for each review will be sufficient to provide a confidence level equal to 95% and a confidence interval equal to five. Records are reviewed for documentation that demonstrates participants have been made aware of all services available on the CTW and have been offered choice among available providers. Records are also reviewed for compliance with health and welfare standards. This includes the documentation that prevention strategies are developed and implemented (when applicable) when abuse, neglect or exploitation is identified, verification (during face to face visits) that the safeguards and interventions are in place, notification of incidents to Support Coordinators has occurred, and documentation that participants have assistance, when needed, to take their medications and verification that back up plans are effective, Records are also reviewed to determine that the

PCSP addresses all of the participant's assessed needs, including health needs, safety risks and personal goals either by the provision of waiver services or other funding sources such as State Plan services, generic services and natural supports. Significant findings from these reviews will be addressed with DHHS/DSPD. A plan of correction with specific time frames for completion will be required. The SMA will conduct follow-up reviews as necessary to ensure the plan of correction is implemented and sustained.

Multiple monitoring methods are utilized to assess the effectiveness of back-up plans. The Support Coordinator is required to have monthly contact with the individual to assure participant health and welfare. If a situation occurred where the individual needed to implement their back-up plan, the Support Coordinator discusses with the individual whether or not the plan was effective and makes any necessary changes.

Additionally, the Support Coordinator must take action on critical incident reports made for the individuals on their caseload. If an incident occurs which indicates a back-up plan needs to be changed, the Support Coordinator must work with the individual to make these changes in order to prevent future problems from occurring. State staff review level one critical incidents and ensure back-up plans are updated as appropriate as a part of the investigation process. The State analyzes data for critical incidents to determine if Support Coordinator follow-up occurred where necessary, and of those incidents requiring follow-up, whether recommended actions to protect individuals' health and welfare were implemented.

Finally, the Office of Service Review with the Office of Continuous Quality and Improvement reviews individual back-up plans as a part of their consumer file audits. Where problems are identified during monitoring, a corrective action plan is required of the Support Coordinator. The SMA receives a detailed list of findings following the completion of annual compliance reviews. Ad hoc reviews can be completed and additional data provided as determined necessary by the OA or SMA.

b. Monitoring Safeguards. *Select one:*

X	**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*:

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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**

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.

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of participant records that contain documentation of progress on goals identified in the PCSP. The numerator is the number of PCSPs reviewed that identify participant goals and for which there is documentation demonstrating progression of participants on those identified goals; the denominator is the total number of PCSPs reviewed.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
Participant records and PCSP			
	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)*
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*

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	☐ *Sub-State Entity*	☐ *Quarterly*		*X Representative Sample; Confidence Interval =*
	☐ *Other Specify:*	*X Annually*		*95% Confidence Level, 5% Margin of Error*
		☐ *Continuously and Ongoing*		☐ *Stratified: Describe Group:*
		☐ *Other Specify:*		
				☐ *Other Specify:*

Add another Data Source for this performance measure

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*
X State Medicaid Agency	☐ *Weekly*
X Operating Agency	☐ *Monthly*
☐ *Sub-State Entity*	☐ *Quarterly*
☐ *Other Specify:*	*X Annually*
	☐ *Continuously and Ongoing*
	☐ *Other Specify:*

Add another Performance measure (button to prompt another performance measure)

b. Sub-assurance: The state monitors service plan development in accordance with its policies and procedures.

i. 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:	*# and % of PCSPs created which appropriately address the assessed needs/goals of the participant & are agreed upon by the participant/legal rep before waiver services were provided. The N = # of PCSPs which appropriately address the assessed needs/goals of the participant & are agreed upon by the participant/legal rep before waiver services were provided. The D = total # of PCSPs reviewed.*			
Data Source *(Select one) (Several options are listed in the on-line application):*				
If 'Other' is selected, specify:				
Participant records and PCSPs				
	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)*	
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*	
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*X Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*		*95% Confidence Level, 5% Margin of Error*
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other

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	Specify:

Add another Performance measure (button to prompt another performance measure)

c. Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of PCSPs which are updated/revised when warranted by changes in the participant's needs. The numerator is the number of PCSPs which were updated/revised when warranted by changes in the participant's needs; the denominator is the total number of PCSPs which required updates/revision due to a change in need.*			
Data Source *(Select one) (Several options are listed in the on-line application):*				
If 'Other' is selected, specify:				
Participant records and Incident reports				
	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)*	
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*	
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*X Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*		*95% Confidence Level, 5% Margin of Error*
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other		

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		Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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.

i. Performance Measures

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

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

Performance Measure:	*Number and percentage of PCSPs identifying the amount, frequency, duration, type and scope for each service authorized. The numerator is the total number of PCSPs in the review which clearly identify the amount, frequency, duration, type and scope for each waiver service authorized; the denominator is the total number of PCSPs reviewed.*
Data Source *(Select one) (Several options are listed in the on-line application):*	
If 'Other' is selected, specify:	

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PCSP, Claims data and Participant interviews				
	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)*	
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*	
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*X Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*		*95% Confidence Level, 5% Margin of Error*
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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

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i. Performance Measures

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

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

Performance Measure:	*Number and percentage of participants who are made aware of all services available on the CTW Waiver. The numerator is the total number of participants reviewed who were made aware of all services available on the CTW Waiver as indicated by their or their legal representative's signature on the Choice of Services section of the PCSP; the denominator is the total number of participants reviewed.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
Participant records, PCSP, and Participant interviews			
	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)*
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*
	☐ Sub-State Entity	*☐ Quarterly*	*X Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*	*95% Confidence Level, 5% Margin of Error*
		☐ Continuously and Ongoing	*☐ Stratified: Describe Group:*
		☐ Other Specify:	
			☐ Other Specify:

Add another Data Source for this performance measure

Data Aggregation and Analysis

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

Add another Performance measure (button to prompt another performance measure)

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.

PCSPs are developed based on the Utah Comprehensive Assessment Needs (UCANS) and other PCSP planning tools and in consultation with the participant and/or the participant's legal representative and address health needs, safety risks and personal goals. Documentation in the participant's record contains adequate information to ascertain the progress that a participant has made on goals identified on the support plan. Once an individual is enrolled in the waiver they are to receive the amount of covered services necessary to meet their health and welfare needs and to prevent unnecessary institutionalization.

The comprehensive assessment is conducted when a participant enters the waiver and a review is conducted at a minimum every twelve months. If there have been significant changes, the assessment is revised. All services are identified on the support plan regardless of funding source. Participants are offered choice of either Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/ID) care or CTW services and choice is documented in USTEPS. Participants are made aware of all services available on the CTW and are offered choice among providers whenever choice exists. Choice of providers is documented in the participant's record.

The SMA may include, as part of the sample, participants from prior reviews or participants that were involved in complaints or critical incident investigations. At the conclusion of the review, the SMA issues an initial report to DSPD (the operating agency). DSPD has three weeks to respond to or refute the findings. The SMA considers DSPD's response and the final report is issued. When warranted, the SMA will conduct follow up activities of findings from the DSPD report as part of the SMA review.

b. Methods for Remediation/Fixing Individual Problems

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

Individual issues identified by DSPD and the SMA that affect the health and welfare of individual participants are addressed immediately. Issues that are less immediate are corrected within designated time frames and are documented through the SMA final review report. When the SMA determines that an issue is resolved, notification is provided and documentation is maintained by the SMA.

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):*
	X State Medicaid Agency	**☐ Weekly**
	X Operating Agency	**☐ Monthly**
	☐ Sub-State Entity	**☐ Quarterly**
	☐ Other Specify:	**☐ Annually**
		☐ Continuously and Ongoing
		X Other Specify:
		Every two years

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.

X	**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.

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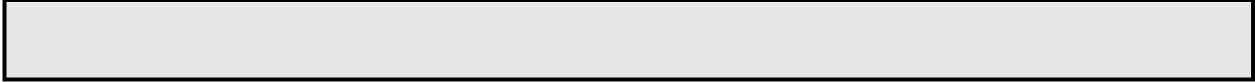

Appendix E: Participant Direction of Services

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

X	**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.**
X	**No. Independence Plus designation is not requested.**

Appendix E-1: Overview

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

Self-Directed Services are made available to all waiver enrollees who elect to participate in this method. Service selection (provider or self-directed) is provided at least annually, and more frequently as needed. Support Coordinators provide ongoing oversight of the enrollees' ability to successfully utilize self-directed services. ~~Family Training and Preparation Services are available to participants needing additional assistance and training in aspects of self-administration.~~ Enrollees who subsequently demonstrate to their support coordinator their incapacity to successfully self-administer their services are transferred to Agency Based Provider Services.

Under Self-Directed Services, participants and/or their chosen representatives hire individual employees to perform a waiver service/s. The participant and/or their chosen representative are then responsible to perform the functions of supervising, hiring, assuring that employee qualifications are met, scheduling, assuring accuracy of time sheets, etc. of the participant's employee/s. ~~Participants and/or their chosen representatives may avail themselves of the assistance offered them within the Family Training and Preparation Service should they request and/or be assessed as requiring additional support and assistance in carrying out these responsibilities.~~

In the case of a participant who cannot direct his or her own services, including those who require a guardian, another person may be appointed as the decision-maker in accordance with applicable State law. The participant or appointed person may also train the employee to perform assigned activities. Appointed decision-makers cannot also be providers of self-directed services.

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Waiver participants and/or their representatives hire employees in accordance with Federal Internal Revenue Service ("IRS") and Federal and State Department of Labor ("DOL") rules and regulations (IRS Revenue Ruling 87-41; IRS Publication 15-A: Employer's Supplemental Tax Guide; Federal DOL Publication WH 1409, Title 29 CFR Part 552, Subpart A, Section 3: Application of the Fair Labor Standards Act to Domestic Service; and States= ABC Test).

Participants authorized to receive services under the Self Directed Services method may also receive services under the Agency Based Provider Services method in order to obtain the array of services that best meet the participant's needs.

For persons utilizing the Self-Directed Services method, Financial Management Services are offered in support of the self-directed option. Financial Management Services, (commonly known as a "Fiscal Agent") facilitate the employment of individuals by the waiver participant or designated representative including: (a) provider qualification verification, (b) employer-related activities including federal, state, and local tax withholding/payments, fiscal accounting and expenditure reports, and (c) Medicaid claims processing and reimbursement distribution.

The participant receiving waiver services remains the employer of record, retaining control over the hiring, training, management, and supervision of employees who provide direct care services.

Once a person's needs have been assessed, the Person Centered Support Plan and budget have been developed and the participant chooses to participate in Self-Directed Services, the participant will be provided with a listing of the available Financial Management Services providers from which to choose. The participant will be referred to the Financial Management Services provider once a selection is made.

A copy of the participant's support plan/approved budget worksheet will be given to the chosen provider of Financial Management Services. The worksheet will indicate the person's total number of authorized funds. Allocated funds are only disbursed to pay for actual services rendered. All payments are made through Financial Management Services providers under contract with the Division of Services for People with Disabilities. Payments are not issued to the waiver participant, but to and in the name of the employee hired by the person or the person's representative. The person will be authorized for a rate to cover the costs of the employee wages and benefits reimbursement.

The Support Coordinator monitors payments, reviews actual expenditure in comparison with the individual support plan and budget, contacts the waiver participant or their representative if any concerns arise, and assists in resolution of billing problems.

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

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

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

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

X	**Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.**
□	**Participant direction opportunities are available to individuals who reside in other living arrangements where services (regardless of funding source) are furnished to fewer than four persons unrelated to the proprietor.**
□	**The participant direction opportunities are available to persons in the following other living arrangements** *Specify* these living arrangements:

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

◯	**Waiver is designed to support only individuals who want to direct their services.**
◯	**The waiver is designed to afford every participant (or the participant's representative) the opportunity to elect to direct waiver services. Alternate service delivery methods are available for participants who decide not to direct their services.**
X	**The waiver is designed to offer participants (or their representatives) the opportunity to direct some or all of their services, subject to the following criteria specified by the state. Alternate service delivery methods are available for participants who decide not to direct their services or do not meet the criteria.** *Specify the criteria*
	Participant direction is offered to participants. 1. Participants may only choose to direct the covered waiver services listed in E-1(g). 2. Participants must acknowledge the obligation of the State to assure basic health and safety and agree to abide by necessary safeguards negotiated during the risk assessment/support planning process. 3. In the case of a participant who cannot direct his or her own waiver services, another person may be appointed as the decision-maker in accordance with applicable State law. 4. Alternate service delivery methods are available to participants who are not able to successfully direct their services. Unless information exists surrounding the diagnosis or capability of the individual to safely navigate self-direction, individuals are afforded the opportunity to direct their care. Should instances of waste/fraud/abuse be detected, or documented issues be present (critical incidents; concern for the individual's overall well being), corrective action will be attempted prior to requiring an individual to switch to an agency model. Opportunities for self-direction are not available to those in the custody of the Division of Child and Family Services.

e. Information Furnished to Participant. Specify: (a) the information about participant direction opportunities (e.g., the benefits of participant direction, participant responsibilities, and potential

liabilities) that is provided to the participant (or the participant's representative) to inform decision-making concerning the election of participant direction; (b) the entity or entities responsible for furnishing this information; and, (c) how and when this information is provided on a timely basis.

During the eligibility and enrollment process the State support coordinator provides the participant with an individualized orientation to waiver home and community based services, which involves providing written materials as well as describing services available under the self-directed model. The orientation typically occurs at the initial visit when the individual is transitioning into services, after needs have been assessed but prior to developing the support plan and approving the individual's budget. At that time it is further explained that by using the self-directed model, it is required that the participant use a qualified Financial Management Service Agency to assist them with payroll functions. The responsibilities and potential liabilities of becoming an employer are also discussed using the Self-Administered Support book as a guide. State support coordinators are trained on all information within the book which includes an introduction to SAS services, definitions, service descriptions, the SAS agreement, roles and responsibilities, background screenings, incident reporting, time sheets, rate information, compliance reviews, record keeping, and other resources. The SAS booklet is available on the DSPD website in both English and Spanish. Individuals transitioning onto the waiver who have a potential interest in SAS services have sufficient time to weigh the pros and cons, gather more information, and ask questions before electing participant direction as they are given the information early in the process. While the State aims to transition individuals into services in a timely manner, State support coordinators provide individuals and families with the information and time they need to make an informed choice regarding participant direction. External support coordinators are also trained on and have access to the Self-Administered Support book so they can effectively inform waiver participants and their families on the service option. The process for providing information about participant direction opportunities reflects cultural considerations of the individual and is conducted by providing information in plain language and in a manner that is accessible to individuals with disabilities and persons who are limited English proficient, consistent with CFR 435.905(b). Support coordinators are responsible to ensure information is presented in plain language and in a manner accessible to the individual. The support coordinator assists individuals who are limited English proficient to utilize Medicaid or OA contracted interpretive services at no cost to the individual including, oral interpretation and written translations. Access to and use of auxiliary aids and services is supported by the support coordinator and/or team at no cost to the individual in accordance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act. The support coordinator informs individuals of the availability of the accessible information and language services described in this paragraph and how to access such information and services.

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

◯	**The state does not provide for the direction of waiver services by a representative.**	
X	**The state provides for the direction of waiver services by representatives.** Specify the representatives who may direct waiver services: *(check each that applies)*:	
	X	**Waiver services may be directed by a legal representative of the participant.**
	X	**Waiver services may be directed by a non-legal representative freely chosen by an adult participant.** Specify the policies that apply regarding the direction of waiver

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services by participant-appointed representatives, including safeguards to ensure that the representative functions in the best interest of the participant:

Participants with adequate and appropriate information and with the assistance of legal representatives (if necessary), family members, and others in their chosen circle of support, can direct the set of waiver services authorized to be provided under the self-directed services model that they receive. The informed preferences of the individual waiver participant will be of primary importance in the decisions relevant to the selection and delivery of supports. As participants exercise greater choice and control over the supports they receive, they also assume relevant responsibility and accept reasonable risk associated with the decision they make. The manner in which the waiver participant, state agencies and the providers of purchased supports share the responsibilities and risks related to services and supports will be defined in support plans, contracts, and other written agreements.

In the case of a participant who cannot direct his or her own services, including those who require a guardian, another person may be appointed as the decision-maker in accordance with applicable State law. The participant or appointed person may also train the employee to perform assigned activities. Appointed decision-makers cannot also be providers of self-directed services.

Necessary safeguards that are in place include the requirement that once chosen, the non-legal representative becomes a member of the person's Person Centered Support Plan (PCSP) team. In addition to the non-legal representative, the PCSP team consists of the participant's support coordinator, provider representatives and any other friends or family members of the participant's choosing. The operating agency relies on the decisions made by the participant's PCSP team. If a non-legal representative and the PCSP team disagree with a decision made and or a non-legal representative appears to jeopardize a participant's health and welfare, then the operating agency will take steps to resolve the disagreement and will assure the best interests of the participant are maintained. The health and safety of clients are ensured by routinely scheduled face-to-face visits by support coordinators, and by quality monitoring reviews by both the operating agency and the SMA.

Minimum monitoring schedule and time frames for Persons participating in self direction:
1. Monthly, review documentation of services provided;
2. Monthly, review/approve billing forms for services provided;
3. Monthly, monitor both the spending, and remaining budget for the plan year;
4. Annually, review services and develop a Person-Centered Support Plan with the Person's team;
5. Review summaries of services to ensure the Person is receiving support as specified in the PCSP and meet the Person's needs;
6. Annually, ensure self- directed families/staff, are trained on and maintain current records of the Person's health and medical status, medication utilization, Behavior Supports Plan, staff instructions sheets, and other support related service support strategies;
7. Annually, ensure self-directed families/staff are training on their Emergency Management and Business Continuity Plan;
8. Annually, ensure all staff have a passed a background screening;

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g. Participant-Directed Services. Specify the participant direction opportunity (or opportunities) available for each waiver service that is specified as participant-directed in Appendix C-1/C-3. *(Check the opportunity or opportunities available for each service)*:

Participant-Directed Waiver Service	Employer Authority	Budget Authority
Transportation Services (non-medical)	X	□
Companion Services	X	□
Chore Services	X	□
Family and Individual Training and Preparation Service – Tier 1	X	□
Supported Living	X	□
Homemaker	X	□
Respite Care – Routine	X	□
Respite Care – Routine Group	X	□
Personal Assistance	X	□
Respite Care – Intensive	X	□

h. Financial Management Services. Except in certain circumstances, financial management services are mandatory and integral to participant direction. A governmental entity and/or another third-party entity must perform necessary financial transactions on behalf of the waiver participant. *Select one:*

X	**Yes. Financial Management Services are furnished through a third party entity.** *(Complete item E-1-i).* Specify whether governmental and/or private entities furnish these services. *Check each that applies:*	
	□	**Governmental entities**
	X	**Private entities**
◯	**No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used.** *Do not complete Item E-1-i.*	

i. Provision of Financial Management Services. Financial management services (FMS) may be furnished as a waiver service or as an administrative activity. S*elect one*:

X	FMS are covered as the waiver service specified in Appendix C-1/C-3 **The waiver service entitled:**	Financial Management Services
◯	**FMS are provided as an administrative activity.** ***Provide the following information***	
i.	**Types of Entities**: Specify the types of entities that furnish FMS and the method of procuring these services: The State uses private vendors to furnish FMS. Any qualified, willing provider may enroll to offer this service. The procurement method is the same as with all other services.	
ii.	**Payment for FMS**. Specify how FMS entities are compensated for the administrative activities that they perform:	

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	FMS is reimbursed on a per month basis.	
iii.	**Scope of FMS**. Specify the scope of the supports that FMS entities provide *(check each that applies):*	
	Supports furnished when the participant is the employer of direct support workers:	
	X	**Assists participant in verifying support worker citizenship status**
	X	**Collects and processes timesheets of support workers**
	X	**Processes payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
	X	**Other** *Specify:*
		In support of self-administration, Financial Management Services will assist participants in the following activities: 1. Verify that the employee completed the following forms: a. Form I-9, including supporting documentation (i.e. copies of driver's license, social security card, passport). If fines are levied against the person for failure to report INS information, the Fiscal Agent shall be responsible for all such fines. b. Form W-4 2. Obtain a completed and signed Form 2678, Employer Appointment of Agent, from each person receiving services from the Financial Management Services provider, in accordance with IRS Revenue Procedure 70-6. 3. Provide persons with a packet of all required forms when using a Financial Management Services provider, including all tax forms (IRS Forms I-9, W-4 and 2678), payroll schedule, Financial Management Services provider's contact information, and training material for the web-based timesheet. 4. Process and pay DHHS/DSPD approved employee timesheets, including generating and issuing paychecks to employees hired by the person. 5. Assume all fiscal responsibilities for withholding and depositing FICA and SUTA/FUTA payments on behalf of the person. Any federal and/or State penalties assessed for failure to withhold the correct amount and/or timely filing and depositing will be paid by the Financial Management Services provider. 6. Maintain a customer service system for persons and employees who may have billing questions or require assistance in using the web-based timesheet. The Financial Management Services provider will maintain an 800-number for calls received outside the immediate office area. Messages must be returned within 24 hours Monday through Friday. Messages left between noon on Friday and Sunday evening shall be returned the following Monday.

a. Must have capabilities in providing assistance in English and Spanish. Fiscal Agent must also communicate through TTY, as needed, for persons with a variety of disabilities.

7. File consolidated payroll reports for multiple employers. The Financial Management Services provider must obtain federal designation as Financial Management Services provider under IRS Rule 3504, (Acts to be Performed by Agents). A Financial Management Services provider applicant must make an election with the appropriate IRS Service Center via Form 2678, (Employer Appointment of Agent). The Financial Management Services provider must carefully consider if they want to avail the Employers of the various tax relief provisions related to domestics and family employers. The Financial Management Services provider may forego such benefits to maintain standardization. Treatment on a case-by-case basis is tedious, and would require retroactive applications and amended employment returns. The Financial Management Services provider will, if required, comply with IRS Regulations 3306(a)(3)(c)(2), 3506 and 31.3306(c)(5)-1 and 31.3506 (all parts), together with IRS Publication 926, Household Employer's Tax Guide. In order to be fully operational, the Form 2678 election should be postured to fall under two vintages yet fully relevant Revenue Procedures; Rev. Proc. 70-6 allows the Financial Management Services provider file one employment tax return, regardless of the number of employers they are acting for, provided the Financial Management Services provider has a properly executed Form 2678 from each Employer. Rev. Proc 80-4 amplifies 70-6, and does away with the multiple Form 2678 requirements, by imposing more stringent record keeping requirements on the Financial Management Services provider.

8. Obtain IRS approval for Agent status. The Financial Management Services provider shall consolidate the federal filing requirements, obtain approval for Utah State Tax Commission consolidated filings, and obtain approval for consolidated filing for unemployment insurance through the Department of Workforce Services. For those Employers retaining domestic help less than 40 hours per week, Workers Compensation coverage is optional. If the 40-hour threshold is achieved or exceeded, the Worker's Compensation Act requires coverage. Statutory requirements and the nature of insurance entail policies on an individual basis. Consolidated filings of Workers Compensation are not an option.

9. Financial Management Services provider cannot provide waiver participants with community-based services in addition to Financial Management Services.

Supports furnished when the participant exercises budget authority:

□	**Maintains a separate account for each participant's participant-directed budget**
□	**Tracks and reports participant funds, disbursements and the balance of participant funds**
□	**Processes and pays invoices for goods and services approved in the service plan**
□	**Provide participant with periodic reports of expenditures and the status of the participant-directed budget**
□	**Other services and supports** *Specify*:

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Additional functions/activities:

X	**Executes and holds Medicaid provider agreements as authorized under a written agreement with the Medicaid agency**
X	**Receives and disburses funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
X	**Provides other entities specified by the state with periodic reports of expenditures and the status of the participant-directed budget**
□	**Other** *Specify:*

iv. **Oversight of FMS Entities.** Specify the methods that are employed to: (a) monitor and assess the performance of FMS entities, including ensuring the integrity of the financial transactions that they perform; (b) the entity (or entities) responsible for this monitoring; and, (c) how frequently performance is assessed.

Service providers, support coordinators, and others who assist in the development and delivery of supports for people served through the Division of Services for People with Disabilities (DSPD) will be expected to maintain established standards of quality. The State Medicaid Agency (SMA) and DSPD will assure that high standards are maintained by way of a comprehensive system of quality assurance including: (a) formal surveys of providers for measurement of individual and organizational outcomes, (b) contract compliance reviews, (c) regular observation and evaluation by support coordinators, (d) provider quality assurance systems, (e) participant/family/legal representative satisfaction measures, (f) performance contracts with and reviews of State agency staff, (g) audits completed by entities external to the agency, and (h) other oversight activities as appropriate.

DSPD improved the accountability of SAS service delivery through standardized mandatory training & manuals for SAS families and support coordinators, development of the Family to Family Network, and a formal documentation monitoring tool used by support coordinators to audit SAS employers.

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j. Information and Assistance in Support of Participant Direction. In addition to financial management services, participant direction is facilitated when information and assistance are available to support participants in managing their services. These supports may be furnished by one or more entities, provided that there is no duplication. Specify the payment authority (or authorities) under which these supports are furnished and, where required, provide the additional information requested *(check each that applies)*:

X	**Case Management Activity**. Information and assistance in support of participant direction are furnished as an element of Medicaid case management services. *Specify in detail the information and assistance that are furnished through case management for each participant direction opportunity under the waiver:*
	In order to provide information and assistance to participants about self-directing their services, the Support Coordinator is responsible to provide the participant/representative with the Self Administered Supports Book, also available on the DSPD website. ~~a Self-Directed Services Support Book.~~ The support coordinator reviews the information in the Support Book with the participant/participant family and is available to answer any questions and provide assistance as needed. The support coordinator is responsible to assess whether the information provided is sufficient to meet the needs of the participant. If the assessment of the situation shows that the participant/representative requires additional training - such as hiring, scheduling, or training of employees, the support coordinator will contact the Financial Management Services agency to provide more detailed training on how to self-direct services. The support coordinator monitors payments, reviews actual expenditure in comparison with the PCSP and budget, contacts the waiver participant or their representative if any concerns arise, and assists in resolution of billing problems.
X	**Waiver Service Coverage**. Information and assistance in support of participant direction are provided through the waiver service coverage (s) specified in Appendix C-1/C-3 (check each that applies):

	Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
	(list of services from Appendix C-1/C-3)	□

□	**Administrative Activity**. Information and assistance in support of participant direction are furnished as an administrative activity. *Specify (a) the types of entities that furnish these supports; (b) how the supports are procured and compensated; (c) describe in detail the supports that are furnished for each participant direction opportunity under the waiver; (d) the methods and frequency of assessing the performance of the entities that furnish these supports; and (e) the entity or entities responsible for assessing performance:*

k. Independent Advocacy *(select one)*.

X	**No. Arrangements have not been made for independent advocacy.**
◯	**Yes**. Independent advocacy is available to participants who direct their services. *Describe the nature of this independent advocacy and how participants may access this advocacy*:

l. Voluntary Termination of Participant Direction. Describe how the state accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the state assures continuity of services and participant health and welfare during the transition from participant direction:

DSPD will issue an Invitation for Service Offering (ISO) to all providers found qualified and available to render the services which the participant has elected to receive from an agency-based provider and will then enter into a contract for the provision of those services from the provider selected by the participant and their person-centered planning team. Health and welfare and continuity of services are assured during the transition process because the consumer continues to receive services under the self-directed services method until the transfer to the agency-based provider method is made.

Should self-directed services not be available due to hiring concerns, alternative strategies may be used. This may include seeking a willing provider able to perform the service while the individual is vetting their choices, reviewing options available through community and natural supports, etc.

m. Involuntary Termination of Participant Direction. Specify the circumstances when the state will involuntarily terminate the use of participant direction and require the participant to receive provider-managed services instead, including how continuity of services and participant health and welfare is assured during the transition.

All participants in the Waiver program are considered, de facto, to be eligible for self-administration. Only after a participant has repeatedly demonstrated an incapacity for self-administration or problems with fraud or malfeasance have been identified would involuntary termination of self-administered services occur. Prior to that occurrence, however, the State offers participants who are struggling with self-administering their services repeated assistance rendered by support coordinators and/or through Financial Management Services to assist the participant to acquire the skills necessary for self-administration. Only after the failure of all these efforts will the State involuntarily terminate self-administered services for a participant.

DSPD will terminate self-administered services involuntarily only upon the discovery of the participant's incapacity to self-administer as determined by the participant's person-centered planning team. The Division will then issue an Invitation for Service Offering (ISO) to all providers found qualified and available to render the services which the participant has been assessed as requiring in order to have them receive these services from an agency-based provider and will then enter into a contract for the provision of those services from the provider selected by the participant and their person-centered planning team.

Health and welfare and continuity of services are assured during the transition process because the consumer continues to receive services under the self-administered services method until the transfer to the agency-based provider method is made.

In cases of fraud or misuse of funds, immediate termination of self-administered services is allowed. In these cases, DSPD would be responsible for obtaining an emergency provider of waiver services until the ISO process is completed and the participant has the opportunity to choose their providers.

Prior to enrolling in self-administered services, the participant/representative is informed of their responsibilities and the rules that must be followed in order to participate. The participant is provided with a Self-Administered Services Support Book which outlines the rules for participating in self-administered services. In addition, the participant/representative is required to sign a self-administered services agreement which outlines the conditions which the participant must comply with in order to use the self-administered services method.

n. Goals for Participant Direction. In the following table, provide the state's goals for each year that the waiver is in effect for the unduplicated number of waiver participants who are expected to elect each applicable participant direction opportunity. Annually, the state will report to CMS the number of participants who elect to direct their waiver services.

Table E-1-n

	Employer Authority Only	**Budget Authority Only or Budget Authority in Combination with Employer Authority**
Waiver Year	**Number of Participants**	**Number of Participants**
Year 1	10	
Year 2	10~~1~~	
Year 3	10~~2~~	
Year 4 (only appears if applicable based on Item 1-C)	10~~3~~	
Year 5 (only appears if applicable based on Item 1-C)	10~~4~~	

Appendix E-2: Opportunities for Participant-Direction

a. Participant – Employer Authority *Complete when the waiver offers the employer authority opportunity as indicated in Item E-1-b:*

i. Participant Employer Status. Specify the participant's employer status under the waiver. *Select one or both:*

□	**Participant/Co-Employer**. The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide waiver services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions. Specify the types of agencies (a.k.a., "agencies with choice") that serve as co-employers of participant-selected staff:
X	**Participant/Common Law Employer**. The participant (or the participant's representative) is the common law employer of workers who provide waiver services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

ii. Participant Decision Making Authority. The participant (or the participant's representative) has decision making authority over workers who provide waiver services. *Select one or more decision making authorities that participants exercise*:

X	**Recruit staff**
□	**Refer staff to agency for hiring (co-employer)**
□	**Select staff from worker registry**
X	**Hire staff (common law employer)**
X	**Verify staff qualifications**
X	**Obtain criminal history and/or background investigation of staff** Specify how the costs of such investigations are compensated:
	The operating agency (DSPD) is responsible to pay any fees associated with background investigations.
□	**Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-1/C-3. Specify the state's method to conduct background checks if it varies from Appendix C-2-a:**
X	**Determine staff duties consistent with the service specifications in Appendix C-1/C-3.**
X	**Determine staff wages and benefits subject to applicable state limits**
X	**Schedule staff**

X	**Orient and instruct staff in duties**
X	**Supervise staff**
X	**Evaluate staff performance**
X	**Verify time worked by staff and approve time sheets**
X	**Discharge staff (common law employer)**
□	**Discharge staff from providing services (co-employer)**
□	**Other** Specify:

b. Participant – Budget Authority *Complete when the waiver offers the budget authority opportunity as indicated in Item E-1-b:*

i. Participant Decision Making Authority. When the participant has budget authority, indicate the decision-making authority that the participant may exercise over the budget. *Select one or more*:

□	**Reallocate funds among services included in the budget**
□	**Determine the amount paid for services within the state's established limits**
□	**Substitute service providers**
□	**Schedule the provision of services**
□	**Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3**
□	**Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3**
□	**Identify service providers and refer for provider enrollment**
□	**Authorize payment for waiver goods and services**
□	**Review and approve provider invoices for services rendered**
□	Other Specify:

ii. Participant-Directed Budget. Describe in detail the method(s) that are used to establish the amount of the participant-directed budget for waiver goods and services over which the participant has authority, including how the method makes use of reliable cost estimating information and is applied consistently to each participant. Information about these method(s) must be made publicly available.

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iii. Informing Participant of Budget Amount. Describe how the state informs each participant of the amount of the participant-directed budget and the procedures by which the participant may request an adjustment in the budget amount.

iv. Participant Exercise of Budget Flexibility. *Select one:*

○	**Modifications to the participant directed budget must be preceded by a change in the service plan.**
○	**The participant has the authority to modify the services included in the participant-directed budget without prior approval.** Specify how changes in the participant-directed budget are documented, including updating the service plan. When prior review of changes is required in certain circumstances, describe the circumstances and specify the entity that reviews the proposed change:

v. Expenditure Safeguards. Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards:

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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.

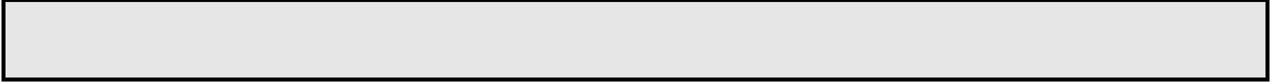
RIGHTS TO A FAIR HEARING DOCUMENTATION

A participant and the participant's legal representative will receive a written Notice of Agency Action, Form 522 and a Hearing Request Form 490S from DSPD: if the participant is denied a choice of institutional or waiver program, found ineligible for the waiver program, denied access to the provider of choice for a covered waiver service, or experiences a denial, reduction, suspension, or termination in waiver services in accordance with R539-3-8. If the participant is enrolled in services, the State follows regulation in accordance with 42 CFR §431.230. In instances in which a participant is found to be ineligible for entrance to the waiver, they may request an administrative fair hearing from the Depart of Health and Human Services, which is dispositive.

The Notice of Agency Action delineates the participant's right to appeal the decision through an informal administrative hearing process at the Department of Health and Human Services. The participant is encouraged to utilize an informal dispute resolution process to expedite equitable solutions.

Notices and the opportunity to request fair hearing documentation are uploaded in USTEPS.

The process for assisting individuals to obtain information about a fair hearing reflects cultural considerations of the individual and is conducted by providing information in plain language and in a manner that is accessible to individuals with disabilities and persons who are limited English proficient, consistent with CFR 435.905(b). Support coordinators are responsible to ensure information is presented in plain language and in a manner accessible to the individual. The support coordinator assists individuals who are limited English proficient to utilize Medicaid or OA contracted interpretive services at no cost to the individual including, oral interpretation and written translations. Access to and use of auxiliary aids and services is supported by the support coordinator and/or team at no cost to the individual in accordance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act. The support coordinator informs individuals of the availability of the accessible information and language services described in this paragraph and how to access such information and services. Support coordinators are asked to assist individuals to request a fair hearing if an adverse decision has been made regarding waiver eligibility, amount, frequency, and duration of waiver services and/or choice of providers from which to receive waiver services.



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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**
X	**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 Department of Health and Human Services has a dispute resolution and an informal hearing process. The dispute resolution process is designed to respond to a participant's concerns without unnecessary formality. The dispute resolution process is not intended to limit a participant's access to formal hearing procedures; the participant may file a Request for Hearing any time in the first 30 days after receiving Notice of Agency Action. Examples of the types of disputes include but are not limited to: choice of provider or service, denial/reduction/suspension/termination of a waiver service, etc.

When DSPD receives a Hearing Request Form (490S) a two-step resolution process begins with:
1. The Division staff explaining the regulations on which the action is based and attempt to resolve the disagreement.
2. If resolution is not reached, Division staff arranges a Review meeting between the participant and/or their legal representative and the Director or the Director's designee.

Attempts to resolve disputes are completed as expeditiously as possible. No specific time lines are mentioned due to the fact that some issues may be resolved very rapidly while other more complex issues may take a greater period of time to resolve. Expectations surrounding follow-up time frames are communicated to the individual with methods for direct contact provided in the event additional questions or concerns are found.

The Director or designee will meet with the parties and review any evidence presented. The Director or designee shall determine the best solution for the dispute. The Director or designee will prepare a concise written summary of the finding and decision and send it to the parties involved. Either party may request an independent review if they do not agree with the Director's decision. Based on interviews with the parties and a review of the evidence, the independent reviewer will prepare for the Division Director a written summary of the factual findings and recommendations. Based on the independent reviewers report the Division Director will determine the appropriate resolution for the dispute and shall implement any necessary corrective action.

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Appendix F-3: State Grievance/Complaint System

a. Operation of Grievance/Complaint System. *Select one:*

◯	**No. This Appendix does not apply**
X	**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:

Utah Department of Health and Human Services, Division of Services for People with Disabilities, Division of Integrated Health, and Division of Medicaid and Health Financing., Bureau of Authorization and Community Based Services

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).

Waiver recipients may file a written or verbal complaint/grievance with the DHHS/DSPD Constituent Service Representative. There is no limit to the amount of elapsed time that has occurred when a complaint may be filed. This Representative is specifically assigned to the Operating Agency, although operates independent of them. When the Representative receives a complaint there is an investigation involving all pertinent parties. The Representative then works with the parties to come to a resolution.

The Department of Health and Human Services has have constituent services available. Participants may call and verbally register a complaint/grievance. The constituent services representative ensures the caller is referred to the appropriate party for problem resolution.

The types of complaints that can be addressed through the grievance/complaint system include but are not limited to: Complaints about a provider of waiver services, including support coordinators, complaints about the way in which providers deliver services, complaints about individual personnel within a provider agency, complaints about DSPD, and any personnel associated with the operating agency or decisions or actions taken by those personnel, etc.

The Office of Service Review Quality Assurance Team within the Bureau of Authorization and Community Based Services investigates complaints/grievances that are reported to the SMA or the OA and pertain to the operation of the CTW Waiver. The SMA makes all efforts to resolve the complaint or grievance to the satisfaction of all parties within two weeks of the submission of the complaint/grievance. Some complaints/grievances may require additional time to investigate and implement a resolution. Findings and resolutions of all complaints/grievances are documented by fiscal year in the SMA complaint/grievance data base.

Participants are informed that filing a complaint is not a prerequisite or a substitute for a hearing.

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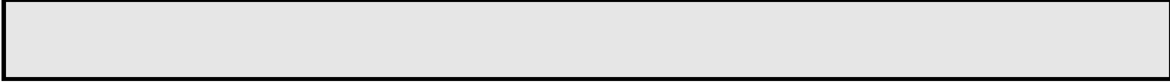

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. Critical Event or Incident Reporting and Management Process. Indicate whether the state operates Critical Event or Incident Reporting and Management Process that enables the state to collect information on sentinel events occurring in the waiver program. *Select one*:

X	**Yes. The state operates a Critical Event or Incident Reporting and Management Process** *(complete Items b through e)*
◯	**No. This Appendix does not apply** (*do not complete Items b through e).* *If the state does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the state uses to elicit information on the health and welfare of individuals served through the program.*

b. State Critical Event or Incident Reporting Requirements. Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the state requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents, and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

State Medicaid Agency (DHHS) Critical Event or Incident Reporting Requirements:

The SMA requires that DHHS/DSPD report critical events/incidents within 24 hours of the event that occurs either to or by a participant. Reportable incidents or events include: an allegation or confirmation of abuse, neglect, or exploitation; a loss or impairment of the function of a bodily member, organ. or mental faculty or significant disfigurement; a death related to an adverse event; a death of a minor; a medication error resulting in a telephone call to or a consultation with a poison control center, an emergency department visit, an urgent care visit, or hospitalization; missing persons; human rights violations such as unauthorized use of restraints; criminal activities that are performed by or perpetrated on waiver participants (including sexual abuse); any significant criminal activity;~~unexpected or accidental deaths; suicide attempts; medication errors that lead to death or medical treatment; abuse or neglect that results in death, hospitalization or other medical treatment (inpatient or outpatient care); accidents that result in hospitalization; missing persons; human rights violations such as unauthorized use of restraints; criminal activities that are performed by or perpetrated on waiver participants (including sexual abuse);~~ events that compromise the participant's working or living environment that put a participant(s) at risk; other events that are anticipated to receive media, legislative, or other

public scrutiny. The SMA and Operating Agency (OA) determine who will be responsible for the oversight of the investigation based on the severity/type of incident.

Operating Agency (DSPD) Critical Event or Incident Reporting Requirements:

R539-5-6 requires the participant/ their representative or a provider agency to report to the case manager if at any time the participant's health and/or safety is jeopardized. Such instances may include, but are not limited to:
1. Actual or suspected incidents of abuse, neglect, exploitation or maltreatment per the DHHS/DSPD Code of Conduct and Utah Code Annotated Sections 62A-3-301 through 321 (mandatory reporting to Adult Protective Services)
2. Drug or alcohol misuse
3. Medication overdose or error requiring medical intervention
4. Missing person
5. Evidence of a seizure in person with no seizure diagnosis
6. Significant property destruction ($500.00 or more)
7. Physical injury requiring medical intervention
8. Law enforcement involvement
9. Emergency hospitalizations

The death of a waiver recipient is subject to a full review of the circumstances surrounding the death and includes a review of documentation by the DHHS Fatality Review Coordinator for the most recent year of services. The DHHS Fatality Review Committee meets at least quarterly and reports annually to DHHS and SMA leadership.

~~Incidents that require reporting may be done verbally and must be made within 24 hours. Within 5 days the person reporting the incident completes the DSPD Form 1-8. If the person reporting is unable to complete the DSPD Form 1-8, accommodations are made and the administrative case manager writes the report.~~

~~The administrative case manager reviews the information, develops and implements a follow-up plan, as appropriate. The form and any follow-up conducted are filed in the participant's case record.~~

Incident reports are compiled and logged into the UPI/USTEPS electronic database. DSPD~~,~~ coordinates with the Office of Licensing and the Office of Service Review, in order to analyze~~d~~ data and trends ~~are identified.~~ The information is utilized by DHHS/DSPD to identify potential areas for quality improvement. The DHHS/DSPD generates a summary report of the incident reports annually (at minimum) and submits to the SMA.

If the SMA detects systemic problems DHS/DSPD must address and submit a plan of correction to the SMA. All plans of correction are subject to acceptance by the SMA. The SMA will conduct follow-up activities to determine that systems corrections have been achieved and are sustaining.

DHHS~~DSPD~~ Provider Contract - Supervisory Requirements:
A. Incident Reports:
Within 24 hours of any incident requiring a report, the Contractor shall notify both the DHS/DSPD Support Coordinator and the person's Guardian by phone, email, or fax.

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Within five (5) business days of the occurrence of an incident, the Contractor shall complete a DHHS/DSPD Form 1-8 Incident Report and file it with the participant's Support Coordinator. However, the mandatory reporting requirements of Utah Code § 62-A-3-301 through 321 for adults, and Utah Code §§ 62-4a-401 through 412 for children always take precedence. Therefore, in the case of actual or suspected incidents of abuse, neglect, exploitation, or maltreatment of an adult, the Contractor shall immediately notify Adult Protective Services intake or the nearest law enforcement agency, and shall immediately notify the Division of Children and Family Services Child Protective Services intake or the nearest peace officer, law enforcement agency in a case involving a child.

The following situations are incidents that require the filing of a report:
1. Actual or suspected incidents of abuse, neglect, exploitation, or maltreatment per the DHHS/DSPD Code of Conduct and Utah Code §§ 62-A-3-301 through 321, which can be found at http://le.utah.gov/code/TITLE62A/htm/62A03_030100.htm for adults; and Utah Code §§ 62-4a-401 through 412 for children, which can be found at http://le.utah.gov/code/TITLE62A/htm/62A04a040100.htm
2. Drug or alcohol abuse, medication overdoses or errors reasonably requiring medical intervention,
3. Missing person,
4. Evidence of seizure in a person with no existing seizure diagnosis,
5. Significant property destruction (damage totaling $500.00 or more). Property damage shall be covered by the Contractor's insurance unless it is agreed upon by the person's team that the person shall pay for damages,
6. Physical injury reasonably requiring a medical intervention,
7. Law enforcement involvement,
8. Any use of manual restraint, mechanical restraints, exclusionary time-out or time-out rooms as defined in Utah Administrative Code, Rule R539-4, and ~~level II~~ emergency interventions not outlined in the person's behavioral plan (e.g., response cost, overcorrection). http://rules.utah.gov/publicat/code/r539/r539.htm
9. Any other instances the Contractor determines should be reported.

After receiving an incident report, the DHHS/DSPD Support Coordinator shall review the report and decide if further review is warranted.

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.

A written description of the rights and responsibilities of each Person shall be provided and explained by the Support Coordinator and Provider at the admission meeting. The Human Rights policy shall be reviewed with each Person annually during the Person's planning or review of services meeting by the Support Coordinator and Provider representative. The Provider shall ensure that grievance procedures are communicated to Persons at the annual planning meeting.

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~~All provider types, contracted with the operating agency, delivering direct services or supports to persons are responsible to ensure that a Provider Human Rights Plan is developed and a Human Rights Committee is established. R539-3-4(1) and (2). Exempt contracted provider types include: service providers under the Self-Administered Services model; and providers who only offer respite, chore, homemaker, personal budget assistance, limited professional consultation, durable goods, or payroll services. Exempt provider types are listed in R539-3-4; the provider contract DHS90743 Scope of Work; and DSPD Directive 1.1 Human Rights.~~

Each provider's Agency Human Rights Plan shall Identify the following:
1. Procedures for training persons/consumers and staff on person's rights;
2. Procedures for prevention of abuse and rights violations;
3. Process for restricting rights when necessary;
4. Review of supports that have high risk for rights violations;
5. Responsibilities of the Contractor's Agency Human Rights Committee including the review of rights issues related to the supports a Contractor provides and give recommendations to the person/consumer and their Support Team.

All persons/consumers and staff shall have access to the Contractor's Human Rights Committee.

~~All Self-Directed Corporations that deliver direct services or supports to a person are responsible to ensure that a Self-Directed Human Rights Plan is developed and approved by the Self-Directed Corporation board and the Support Coordinator. The Division will provide the Self-Directed Corporation with an approved format and training materials necessary to complete the Self-Directed Human Rights Plan. The board of the Self-Directed Corporation and the Support Coordinator will act as the Human Rights Committee as defined in DSPD Directive 1.1.~~
~~A. Board members (Human Rights Committee), when reviewing a Self-Directed Human Rights Plan, are responsible to:~~
~~i. determine if any proposed procedure is necessary to protect the health, safety and/or life of the Person;~~
~~ii. weigh the potential risk and benefits of the decision thoroughly;~~
~~iii. ensure a method is in place to document, monitor and, if appropriate, cease to the procedure and ensure the method is communicated to staff;~~
~~iv. render a decision; and~~
~~v. get signed approval of Self-Directed Human Rights Plan by region director or designee.~~

According to Utah Code 76-5-111.1.

As provided in Utah Department of Health and Human Services Code, Aging and Adult Services, 62A3-305:
(1) A person who has reason to believe that a vulnerable adult has been the subject of abuse, neglect, or exploitation shall immediately notify Adult Protective Services intake or the nearest law enforcement agency. When the initial report is made to law enforcement, law enforcement shall immediately notify Adult Protective Services intake. Adult Protective Services and law enforcement shall coordinate, as appropriate, their efforts to provide protection to the vulnerable adult.
(4)(a) A person who willfully fails to report suspected abuse, neglect, or exploitation of a vulnerable adult is guilty of a class B misdemeanor.
(b) A covered provider or covered contractor, as defined in Section 26-21-201, that knowingly fails to report suspected abuse or neglect, as required by this section, is subject to a private right

of action and liability for the abuse or neglect of another person that is committed by the individual who was not reported to Adult Protective Services in accordance with this section.

The State uses the following standard in its evaluation of allegations: "The probability that the incident occurred as a result of the alleged/suspected abuse, neglect and/or exploitation is clear and convincing."

The State does not review incident reports/findings differently when a single provider renders both residential and day services.

In instances where the incident may have involved contracted Supported Coordinators, State staff would conduct the review/investigation of the incident. In instances where the allegation/incident involved conduct by the Operating Agency, the SMA would conduct the investigation.

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.

Responsibility of the State Medicaid Agency
After a critical incident/event is reported to the SMA by the Operating Agency, the Operating Agency facilitates the investigation of the incident/event and submits the Critical Incident Findings, Operating Agency Report to the SMA within two weeks of reporting the incident/event. Cases that are complicated and involve considerable investigation may require additional time to complete the findings document. The SMA reviews the report to determine if the incident could have been avoided, if additional supports or interventions have been implemented to prevent the incident from recurring, if changes to the support plan and/or budget have been made, and if any systemic issues were identified and a plan to address systemic issues developed. Participants and/or legal representatives are informed in writing of the investigation results within two weeks of the closure of the case by the SMA.

Responsibility of DHHS:~~the Operating Agency~~
DHHS/OSR has responsibility for receiving, reviewing and responding to critical incidents.

Incidents involving suspected or actual abuse, neglect or exploitation will be reported to APS in accordance with Utah State Law 76-5-111 and State Rule R510-302. The DHHS/OSR~~operating agency~~ will also report these instances to the SMA within 48 hours.

The DHHS/OSR will identify immediate health and safety concerns in order to protect the health and welfare of the recipient (as circumstances warrant). An investigation is conducted to determine the facts, if the needs of the recipient have changed and warrant an updated needs assessment and identify preventive strategies for the future. The service plan is amended as dictated by the circumstances. The timeframe for completion of the investigation is 5 days from the date of notification.

In instances where the incident may have involved contracted Supported Coordinators, State staff would conduct the review/investigation of the incident. In instances where the allegation/incident involved conduct by the Operating Agency, the SMA would conduct the investigation.

The Office of Licensing will conduct independent state investigations of all critical incidents in regard to licensed providers in accordance with Utah Administrative Code, Rule 501-1-2. Additionally, OL will inform and collaborate with DIOH, Support Coordinators and OSRQD whenever an investigation is opened (and concluded) in a DSPD Contracted/Waiver setting.

Support Coordinators and OSRQD staff are delegated to conduct all unlicensed entities' incident investigations under all of the same guidelines and priority classifications as Licensing Investigations and will work in conjunction with OSRQD and DIHOH for all non-licensed programs.
I. Critical Incidents
Other than incidents specifically outlined in the DHS Incident Reporting Guide 2018, all CIs are detailed and outlined in Office of Licensing Rule. What constitutes a CI is defined specifically in Utah Administrative Code, Rule 501-1-2(9).
C. Reporting requirements for CIs:
Any incident that arises to, or meets the specific definition of a CI, as defined in section I.A. or I.B. shall be reported in accordance with Utah Administrative Code, Rule 501-1-9, unless stated otherwise in this guide. R
Rule 501-1-9 states:
(i) report shall be made to DHHS and legal guardians of involved clients within one business day;
(A) if the critical incident involves a client or service under a DHS contract, the critical incident report must be completed within 24 hours and may require a five day follow up report to the involved DHS Division;
(B) if the critical incident involves a client or service to a youth currently in the custody of DHS or its Divisions an immediate live-person verbal notification to the involved Division is additionally required.
(ii) Initial critical incident reports to DHHS shall include the following in writing:
(A) name of provider and all involved staff, witnesses and clients;
(B) date, time, and location of the incident, and date and time of incident discovery, if different from time of incident;
(C) descriptive summary of incident;
(D) actions taken; and
(E) actions planned to be taken by the program at the time of the report.
(F) identification of DHS contracts status, if any.
(iii) It is the responsibility of the licensee to collect and maintain and submit as requested original witness and participant witness statements and supporting documentation regarding all critical incidents that require individual perspectives to be understood.
D. Process for reporting:

2. In addition, notification of the incident shall also be given to the appropriate case manager, case worker or support coordinator. This may be accomplished via entry into USTEPS when applicable. Although they may conduct follow-up relative to the needs of the client, case managers, case workers or support coordinators shall not independently engage in any investigatory actions or functions relative to an incident reported to them. Investigations of CIs will be conducted by or under the direction of the Office of Licensing.

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~~3. For incidents involving individuals in the DSPD system, CIs shall be reported through USTEPS and shall include any additional information required by that system. OL staff assigned to process and evaluate these incidents will then refer them to the Office of Licensing, if the incident involves a licensee and rises to the level of a CI as defined above.~~

~~II. Non-Critical Incidents (only applicable to providers with DHS contracts)~~
~~Non-Critical Incidents ("NCI") are those events or occurrences that do need to be reported, but do not need to be reported to the Office of Licensing. Reporting requirements or procedures for NCIs are outlined below. In addition, the requirements relating to NCIs only applies to those entities serving a DHS population under a state contract. These do not apply to non-contracted private providers.~~
~~A. The following are NCIs that shall be reported:~~

~~1. Unexpected hospitalizations that result in admission. This includes any admission to psychiatric facilities.~~

~~2. Any destruction of property attributed to an individual receiving services, the value of which exceeds $500.00, unless such behavior is one identified as a target behavior in a Behavior Support Plan and is reported in a monthly behavior summary sent to appropriate case management/support coordination.~~

~~3. Suicidal ideation or threats of suicide when the individual does not have services and supports in place to address such behaviors, a description of which are also not being reported on a monthly summary to appropriate case management.~~

~~4. Use of emergency behavior interventions as such are defined in Utah Administrative Code Rule 539-4. This is applicable only to people receiving services under the DSPD system.~~

~~5. Aspiration or choking which does not result in hospitalization.~~

~~6. Evidence of a seizure or seizure like behavior in an individual with no existing seizure diagnosis, except where seizures have been ruled out and seizure like behavior is a behavior identified as a target behavior in a Behavior Support Plan and reported in a monthly behavior summary sent to the appropriate case management/support coordination.~~

~~7. Any incident involving the alleged or confirmed waste, fraud or abuse of Medicaid funds by either a provider or a recipient of Medicaid services.~~

~~8. Any involvement of an outside entity such as fire department, law enforcement, etc.~~

~~9. Attempted escape from a detention or secure facility.~~

~~10. Unlawful or unauthorized possession of pornographic material.~~

~~11. Any pending litigation that is specifically related to the provider's services or to an individual receiving services.~~

~~B. Reporting process and requirements for NCIs:~~

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1. Initial notification shall be made within 24 hours of the incident to the appropriate case manager, case worker or support coordinator. For those serving individuals in the DSPD system, this may be accomplished via entry into UPI/USTEPS when applicable. This initial notification shall contain the following information:
• Identification of the individual receiving services involved in the incident
• The date of the incident
• The date the incident was discovered
• A brief description of the occurring incident

2. A full report of the incident shall be submitted to the case manager, case worker or support coordinator within 5 business days. This report shall include the following:
• The reporting criteria established in Utah Administrative Code, Rule 501-1-9, which are also referenced in section I.C. above. Those providing services to individuals in the DSPD system shall also include any additional criteria set forth in USTEPS.

3. In addition to the initial and full report, providers may be asked to provide additional information if such information is required by DHHS, Department of Integrated Health or other entity making further inquiry of an incident(s). The State does not review incident reports/findings differently when a single provider renders both residential and day services.

In instances where the incident may have involved contracted Supported Coordinators, State staff would conduct the review/investigation of the incident. In instances where the allegation/incident involved conduct by the Operating Agency, the SMA would conduct the investigation.

The State uses a burden of proof standard in regards to allegations of abuse, neglect or exploitation. (The probability that the incident occurred as a result of the alleged/suspected abuse, neglect and/or exploitation is clear and convincing). In general, the State's incident reporting criteria is event based - if the occurrence of a defined criteria is met, the incident must be reported. The level of investigation/remediation may be altered depending on the severity of incident/likely recurrence/improper safeguards, etc.

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.

Oversight Responsibility of Critical Incidents/Events of the State Medicaid Agency:
The SMA reviews 100% of critical incident reports, annually. The SMA also reviews the DHHS/DSPD annual Incident Report. If the SMA detects systemic problems either through this reporting mechanism or during the SMA's program review process, DHHS/DSPD will be requested to submit a plan of correction to the SMA. The plan of correction will include the interventions to be taken and the time frame for completion. All plans of correction are subject to acceptance by the SMA. The SMA will conduct follow-up activities to determine that systems corrections have been achieved and are sustaining.

Oversight Responsibility of Critical Incidents/Events of the DHHS/OSROperating Agency:

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The DHHS/OSR~~operating agency~~ has responsibility for oversight of critical incidents and events. Incident reports are compiled, logged into the UPI/USTEPS electronic database, analyzed and trends are identified. The information is utilized to identify prevention strategies on a system wide basis and identify potential areas for quality improvement.

The DHHS/DSPD generates a summary report of the incident reports annually (at minimum) and submits it to the SMA.

During annual chart reviews, State staff reviews for instances where log notes may have indicated a reportable event occurred. In addition, the State has begun efforts to analyze claim/encounter data to review for necessary reports following inpatient stays. Claims data is consulted ad hoc during investigations when believed to be helpful to the investigation or to determine validity in allegations such as waste/fraud/abuse of Medicaid funds or in ANE cases.

Quarterly reports submitted by the OA are reviewed for Level 2 incidents. Level 1 incidents are reported to the SMA upon notification to the OA.

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions

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:
X	**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).

Utah Administrative Rules describe the use of restraints and the safeguards in place to protect participants when restraints are used, including:

R539-3-10. Prohibited Procedures.
(1) The following procedures are prohibited for Division staff and Providers, including staff hired for Self-Administered Services, in all circumstances in supporting Persons receiving Division funding:
(a) Physical punishment, such as slapping, hitting, and pinching.
(b) Demeaning speech to a Person that ridicules or is abusive.
(c) Locked confinement in a room. [definition of seclusion]
(d) Denial or restriction of access to assistive technology devices, except where removal prevents injury to self, others, or property as outlined in Sections R539-3-6 and R539-4-7.
(e) Withholding or denial of meals, or other supports for biological needs, as a consequence or punishment for problems.
~~(f) Any Level II or Level III Intervention, as defined in R539-4-3(n) and R539-4-3(o), used as coercion, as convenience to staff, or in retaliation.~~
(f~~g~~) Any procedure in violation of R495-876, R512-202, R510-302, 62A-3-301 thru 62A-3-321, and 62A-4a- 402 thru 62A-4a-412 prohibiting abuse.

R539-4-4. Levels of Behavior Interventions.
(2) All Behavior Support Plans shall be implemented only after the Person or Guardian gives consent and the Behavior Support Plan is approved by the Team.
(3) All Behavior Support Plans shall incorporate Positive Behavior Supports with the least intrusive, effective treatment designed to assist the Person in acquiring and maintaining skills, and preventing problems.
(4) Behavior Support Plans must:
(a) Be based on a Functional Behavior Assessment.

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(b) Focus on prevention and teach replacement behaviors.
(c) Include planned responses to problems.
(d) Outline a data collection system for evaluating the effectiveness of the plan.
(5) All Provider staff involved in implementing procedures outlined in the Behavior Support Plan shall be trained and demonstrate competency prior to implementing the plan.
(a) Completion of training shall be documented by the Provider.
(b) The Behavior Support Plan shall be available to all staff involved in implementing or supervising the plan.
~~(8) Level II Interventions may be used in pre-approved Behavior Support Plans or emergency situations. [Includes manual restraint].~~
~~(9) Level III Interventions may only be used in pre-approved Behavior Support Plans. [Includes mechanical restraint and seclusion (time-out room)].~~
~~(10) Behavior Support Plans that utilize Level II or Level III Interventions shall be implemented only after Positive Behavior Supports, including Level I Interventions, are fully implemented and shown to be ineffective. A rationale on the necessity for the use of intrusive procedures shall be included in the Behavior Support Plan.~~
(6) Time-out Rooms shall be designed to protect Persons from hazardous conditions, including sharp corners and objects, uncovered light fixtures, and unprotected electrical outlets. The rooms shall have adequate lighting and ventilation.
(a) Doors to the Time-out Room may be held shut by Provider staff, but not locked at any time.
(b) Persons shall remain in Time-out Rooms no more than 2 hours per occurrence.
(c) Provider staff shall monitor Persons in a Time-out Room visually and auditorially on a continual basis. Staff shall document ongoing observation of the Person while in the Time-out Room at least every fifteen minutes.
(7) Time-out Rooms shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
(a) Persons shall be placed in the Time-out Room immediately following a previously identified problem. Time delays are not allowed.
(b) Persons shall not be transported to another location for placement in a Time-out Room.
(c) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria.
(8) Mechanical restraints shall ensure the Person's safety in breathing, circulation, and prevent skin irritation.
(a) Persons shall be placed in Mechanical Restraints immediately following the identified problem. Time delays are not allowed.
(b) Persons shall not be transported to another location for Mechanical Restraints.
(9) Mechanical Restraints shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
(a) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria. The plan shall also specify maximum time limits for single application and multiple use.
(b) Behavior Support Plans shall include specific requirements for monitoring the Person, before, during, and after application of the restraint to ensure health and safety.
(c) Provider staff shall document their observation of the Person as specified in the Behavior Support Plan.
(10) Manual restraints shall ensure the Person's safety in breathing and circulation. Manual restraint procedures are limited to the Mandt System (Mandt), the Professional Assault Response Training (PART), or Supports Options and Actions for Respect (SOAR) training

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Safety Care programs. Procedures not outlined in the programs listed above may only be used if pre-approved by the State Behavior Review Committee.
(11) Behavior Support Plans that include Manual Restraints shall provide information on the method of restraint, release criteria, and time limitations on use.

R539-4-5. Review and Approval Process.
(1) The Behavior Peer Review Committee shall review and approve the Behavior Support Plan annually. The plan may be implemented prior to the Behavior Peer Review Committee's review; however the review and approval must be completed within 60 calendar days of implementation.
(2) The Behavior Peer Review Committee's review and approval process shall include the following:
~~(a) A confirmation that appropriate Positive Behavior Supports, including Level I Interventions, were fully implemented and revised as needed prior to the implementation of Level II or Level III Interventions.~~
(a) Ensure the technical adequacy of the Functional Behavior Assessment and Behavior Support Plan based on principles from the fields of Positive Behavior Supports and applied behavior analysis.
(b) Ensure plans are in place to attempt reducing the use of intrusive interventions.
(c) Ensure that staff training and plan implementation are adequate.
~~(3) The Provider Human Rights Committee shall approve Behavior Support Plans with Level II and Level III Interventions annually. Review and approval shall focus on rights issues, including consent and justification for the use of intrusive interventions.~~
(3) The State Behavior Review Committee must consist of at least three members, including representatives from the Division, Provider, and an independent professional having a recognized expertise in Positive Behavior Supports. The Committee shall review and approve the following:
(a) Behavior Support Plans that include intrusive interventions including but not limited to Time-out Rooms, Mechanical Restraints or Highly Noxious Stimuli.
(b) Behavior Support Plans that include forms of Manual Restraint or Exclusionary Time-out used for long-term behavior change and not used in response to an emergency situation.
(c) Behavior Support Plans that include manual restraint not outlined in Mandt, PART ~~or~~ SOAR or Safety Care training programs.
(4) The Committee shall determine the time-frame for follow-up review.
(5) Behavior Support Plans shall be submitted to the Division's state office for temporary approval prior to implementation pending the State Behavior Review Committee's review of the plan.
~~(7) Families participating in Self-Administered Services may seek State Behavior Review Committee recommendations, if desired.~~

R539-4-6. Emergency Behavior Interventions.
(1) Emergency Behavior Interventions may be necessary to prevent clear and imminent threat of injury or property destruction during emergency situations.
(2) Non-intrusive interventions shall be used first in emergency situations, if possible.
(3) The least intrusive ~~Level III~~ Interventions shall be used in emergency situations. The length of time in which the intervention is implemented shall be limited to the minimum amount of time required to resolve the immediate emergency situation.
(4) Each use of Emergency Behavior Interventions and a complete Emergency Behavior Intervention Review shall be documented by the Provider on Division Form 1-8 and submitted

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in UPI/USTEPS~~forwarded~~ to the Division, as outlined in the Provider's Service Contract with the Division.
(a) The Emergency Behavior Intervention Review shall be conducted by the Provider supervisor or specialist and staff involved with the Emergency Behavior Intervention. The review shall include the following:
(i) The circumstances leading up to and following the problem.
(ii) If the Emergency Behavior Intervention was justified.
(iii) Recommendations for how to prevent future occurrences, if applicable.
(5) The Person's Support Coordinator shall review Form 1-8 received from Providers and document the follow-up action.
(6) If Emergency Behavior Interventions are used three times, or for a total of 25 minutes, within 30 calendar days, the Team shall meet within ten business days of the date the above criteria are met to review the interventions and determine if:
(a) A Behavior Support Plan is needed;
(b)Intrusive Interventions are required in the Behavior Support Plan;
(c) Technical assistance is needed;
(d) Arrangements should be made with other agencies to prevent or respond to future crisis situations; or
(e) Other solutions can be identified to prevent future use of Emergency Behavior Interventions.

~~R539-4-3 (~~

~~R539-4-4 Levels of Behavior Interventions~~
~~(1) The remainder of this rule applies to all Division staff and Providers, but does not apply to employees hired for Self-Administered Services.~~

~~(13) Mechanical restraints shall ensure the Person's safety in breathing, circulation, and prevent skin irritation.~~
~~(a) Persons shall be placed in Mechanical Restraints immediately following the identified problem. Time delays are not allowed.~~
~~(b) Persons shall not be transported to another location for Mechanical Restraints.~~
~~(14) Mechanical Restraints shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.~~
~~(a) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria. The plan shall also specify maximum time limits for single application and multiple use.~~
~~(b) Behavior Support Plans shall include specific requirements for monitoring the Person, before, during, and after application of the restraint to ensure health and safety.~~
~~(c) Provider staff shall document their observation of the Person as specified in the Behavior Support Plan.~~
~~(15) Manual restraints shall ensure the Person's safety in breathing and circulation. Manual restraint procedures are limited to the Mandt System (Mandt), the Professional Assault Response Training (PART), or Supports Options and Actions for Respect (SOAR) training programs. Procedures not outlined in the programs listed above may only be used if pre-approved by the State Behavior Review Committee.~~
~~(16) Behavior Support Plans that include Manual Restraints shall provide information on the method of restraint, release criteria, and time limitations on use.~~

~~R539-4-5. Review and Approval Process.~~

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~~(1) The Behavior Peer Review Committee shall review and approve the Behavior Support Plan annually. The plan may be implemented prior to the Behavior Peer Review Committee's review; however the review and approval must be completed within 60 calendar days of implementation.~~
~~(2) The Behavior Peer Review Committee's review and approval process shall include the following:~~
~~(b) Ensure the technical adequacy of the Functional Behavior Assessment and Behavior Support Plan based on principles from the fields of Positive Behavior Supports and applied behavior analysis.~~
~~(c) Ensure plans are in place to attempt reducing the use of intrusive interventions.~~
~~(d Ensure that staff training and plan implementation are adequate.~~
~~(4) The State Behavior Review Committee must consist of at least three members, including representatives from the Division, Provider, and an independent professional having a recognized expertise in Positive Behavior Supports. The Committee shall review and approve the following:~~
~~(a) Behavior Support Plans that include Time-out Rooms, Mechanical Restraints or Highly Noxious Stimuli.~~
~~(b) Behavior Support Plans that include forms of Manual Restraint or Exclusionary Time-out used for long-term behavior change and not used in response to an emergency situation.~~
~~(c) Behavior Support Plans that include manual restraint not outlined in Mandt, PART, SOAR, Safety Care, or CPI training programs.~~
~~(5) The Committee shall determine the time-frame for follow-up review.~~
~~(6) Behavior Support Plans shall be submitted to the Division's state office for temporary approval prior to implementation pending the State Behavior Review Committee's review of the plan.~~

~~DHS90743 Contract Scope of Work~~
~~Within 30 days of hire, provider employees must be trained in "[t]he use of positive behavior supports as a first response in behavioral crisis prevention and intervention in accordance with Utah Administrative Code,~~
~~Rule R539-4."~~
~~Ensure its staff successfully completes training in one of the following within 180 days of employment if the Person the staff is serving is likely to engage in aggressive, self-injurious, or destructive behavior:~~
~~a. Supports Options and Actions for Respect ("SOAR");~~
~~b. System for Managing Non-Aggressive and Aggressive People ("MANDT");~~
~~c. Professional Assault Response Training ("PART");~~
~~d. Crisis Prevention Institute ("CPI") or Safety Care; or~~
~~e. Another intervention-training program with prior written approval from DHS.~~
~~The staff shall maintain certification in one of the above.~~

~~R501-2-7. Behavior Management. (Office of Licensing)~~
~~A. The program shall have on file for public inspection, a written policy and procedure for the methods of behavior management. These shall include the following:~~
~~1. definition of appropriate and inappropriate behaviors of consumers,~~
~~2. acceptable staff responses to inappropriate behaviors, and~~
~~3. consequences.~~
~~B. The policy shall be provided to all staff, and staff shall receive training relative to behavior management at least annually.~~

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~~C. No management person shall authorize or use, and no staff member shall use, any method designed to humiliate or frighten a consumer.~~
~~D. No management person shall authorize or use, and no staff member shall use nor permit the use of physical restraint with the exception of passive physical restraint. Passive physical restraint shall be used only as a temporary means of physical containment to protect the consumer, other persons, or property from harm. Passive physical restraint shall not be associated with punishment in any way.~~
~~E. Staff involved in an emergency safety intervention that results in an injury to a resident or staff must meet with the clinical professional to evaluate the circumstances that caused the injury and develop a plan to prevent future injuries.~~

~~Documentation Requirements~~
~~Use of Emergency Behavioral Interventions as defined by R539-4-6 and use of restraints or a seclusion room, even when identified in the Person's Behavior Support Plan must be reported as a Level III Incident. Human rights violations that include unauthorized use of physical, mechanical, or chemical restraints, seclusion rooms, and infringement of personal privacy rights experienced by the Person that would otherwise require a human rights review process must be reported as a Level I Critical Incident. Providers must submit notification of an incident within 24 hours of discovery to the support coordinator and the person's guardian. Notification to the support coordinator is made through the Utah Provider Interface (UPI). A detailed report must be completed in UPI within 5 days of discovery.~~

ii. State Oversight Responsibility. Specify the state agency (or agencies) responsible for overseeing the use of restraints and ensuring that state safeguards concerning their use are followed and how such oversight is conducted and its frequency:

The SMA reviews incident reports of participants in the review sample that pertain to the use of restraints and seclusion. The SMA also reviews participant records and conducts interviews with providers and participants to determine if all incidents of restraints or seclusion have been reported and appropriately administered. Behavior support plans are also reviewed to determine if the use of restraints or seclusion have been appropriately addressed in the plan including safeguards that address the health and welfare of the participant ~~and that human rights committees have appropriately reviewed and approved the use of restraints or seclusion.~~

The Operating Agency has the day to day responsibility to assure that appropriate procedures are followed regarding the implementation of the use of restraints and seclusion. All use of emergency ~~Level II~~ intrusive interventions are recorded by providers on incident reports and reviewed at least monthly by support coordinators. ~~The Human Rights Committee reviews all emergency Level II intrusive interventions.~~ All programmatic use of ~~Level II~~ intrusive interventions are reviewed and approved annually by the participant's team, Behavior Peer Review, ~~and Human Rights Committee.~~ All programmatic use of intrusive interventions~~intrusive Level II interventions~~ are summarized in provider's Behavior Consultation Services Progress Notes and reviewed at least monthly by support coordinators. ~~State Quality Management and State Behavior Specialist will review data at least annually.~~

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The SMA actively participates in the immediate oversight of Level 1 incidents and quarterly review of Level 2 incidents.
~~Office of Service Review (OSR) manages all behavior support plans and human rights issues related to incidents and restraints. Office of Licensing (OL) core rule R501-2 governs restraints and behavior management in licensed settings. Investigative teams look into all incidents reported according to rule requirements and note violations as appropriate. OSR OQD is involved to add to any noted violations of contract. Trends and patterns are noted in OL database and DSPD Database (USTEPS).~~

~~Unauthorized use, overuse, or inappropriate/ineffective use of restraints must be reported through the critical incident process. Incidents of this nature are considered level one critical incidents, requiring investigation by the SMA to ensure development and implementation of prevention strategies, support coordinator follow-up, and State requirements are followed. Additionally, support coordinator monthly contact addresses any suspicion of abuse, neglect, or exploitation. Support coordinators are mandatory reporters and therefore must report any suspicion of abuse, neglect, or exploitation to Adult Protective Services, Child Protective Services, and other authorities as appropriate. Constituent Services within both the SMA and the OA will accept any report of abuse, neglect, exploitation including unauthorized use, overuse, or inappropriate/ineffective use of restraints. Finally, the support coordinator is responsible to review any human rights restriction plans for the individuals they serve to assure the health and welfare of the individual and ensure their human rights are protected.~~

~~The OA compiles and analyzes critical incident data at a minimum of quarterly in order to prevent re-occurrence of similar incidents. Critical incident trends are identified for systemic intervention, and targeted improvement strategies are implemented by the OA. Improvement strategies can include interventions targeted toward specific providers, identified provider types, individuals in services, or select groups based on demographics such as regional location, gender, age, sexual orientation; among others. The Quality Improvement Committee which is composed of representatives from the SMA, the Division of Services for People with Disabilities, the Office of Quality and Design, and the Division of Licensing reviews critical incident data and associated improvement strategies at a minimum of quarterly and provides support for collaborative inter-agency improvement strategy implementation. The SMA receives quarterly reports on critical incident data, trends, and prevention strategies.~~

~~The State evaluates the following performance measures to support oversight of the operation of the incident management system:~~

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~~Number and percentage of quarterly critical incident reports submitted to the SMA which demonstrate how incident data are collected, compiled, and used to prevent re-occurrence.~~

~~Number and percentage of critical incident trends identified for systemic intervention that were implemented.~~

~~Data for overseeing the operation of the incident management system are collected using the Utah Provider Interface (UPI) system within USTEPS. Providers and support coordinators use UPI to report incidents, document information and follow-up surrounding the incident following its occurrence, provide investigation information, and identify trends for individuals who experience multiple incidents requiring intervention, including those involving unauthorized use of restraints. The OA is responsible to compile and analyze this data at a minimum of quarterly to prevent re-occurrence concerning the unauthorized use of restraints. The SMA and the OA collaborate to implement improvement strategies through quarterly reporting processes, the Quality Improvement Committee, and other efforts as necessary.~~

~~The SMA actively participates in the immediate oversight of Level 1 incidents and quarterly review of Level 2 incidents and has a standing member on the OA's Human Rights Council.~~

b. Use of Restrictive Interventions

◯	**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:
X	**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.

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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.

Utah Administrative Rules describe the use of Restrictive Interventions and describe the safeguards in place to protect participants when restrictive interventions are used, including:

R539-3-10. Prohibited Procedures.
(1) The following procedures are prohibited for Division staff and Providers, including staff hired for Self-Administered Services, in all circumstances in supporting Persons receiving Division funding:
(a) Physical punishment, such as slapping, hitting, and pinching.
(b) Demeaning speech to a Person that ridicules or is abusive.
(c) Locked confinement in a room. [definition of seclusion]
(d) Denial or restriction of access to assistive technology devices, except where removal prevents injury to self, others, or property as outlined in Sections R539-3-6 and R539-4-7.
(e) Withholding or denial of meals, or other supports for biological needs, as a consequence or punishment for problems.
(f) Any intrusive ~~Level II or Level III~~ intervention, as defined in R539-4-3(n) and R539-4-3(o), used as coercion, as convenience to staff, or in retaliation.
(g) Any procedure in violation of R495-876, R512-202, R510-302, 62A-3-301 thru 62A-3-321, and 62A-4a- 402 thru 62A-4a-412 prohibiting abuse.

R539-4-4. Levels of Behavior Interventions.
(2) All Behavior Support Plans shall be implemented only after the Person or Guardian gives consent and the Behavior Support Plan is approved by the Team.
(3) All Behavior Support Plans shall incorporate Positive Behavior Supports with the least intrusive, effective treatment designed to assist the Person in acquiring and maintaining skills, and preventing problems.
(4) Behavior Support Plans must:
(a) Be based on a Functional Behavior Assessment.
(b) Focus on prevention and teach replacement behaviors.
(c) Include planned responses to problems.
(d) Outline a data collection system for evaluating the effectiveness of the plan.
(5) All Provider staff involved in implementing procedures outlined in the Behavior Support Plan shall be trained and demonstrate competency prior to implementing the plan.
(a) Completion of training shall be documented by the Provider.
(b) The Behavior Support Plan shall be available to all staff involved in implementing or supervising the plan.
(6) Intrusive~~Level II~~ Interventions may be used in pre-approved Behavior Support Plans or emergency situations. [Includes manual restraint].
(7) Intrusive ~~Level III~~ Interventions which include mechanical restraint, and seclusion or time out room may only be used in pre-approved Behavior Support Plans. ~~[Includes mechanical restraint and seclusion (time-out room)].~~
(8) Behavior Support Plans that utilize intrusive interventions ~~Level II or Level III~~ The interventions shall be implemented only after Positive Behavior Supports~~, including Level I~~

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Interventions, are fully implemented and shown to be ineffective. A rationale on the necessity for the use of intrusive procedures shall be included in the Behavior Support Plan.
(9) Time-out Rooms shall be designed to protect Persons from hazardous conditions, including sharp corners and objects, uncovered light fixtures, and unprotected electrical outlets. The rooms shall have adequate lighting and ventilation.
(a) Doors to the Time-out Room may be held shut by Provider staff, but not locked at any time.
(b) Persons shall remain in Time-out Rooms no more than 2 hours per occurrence.
(c) Provider staff shall monitor Persons in a Time-out Room visually and auditorially on a continual basis. Staff shall document ongoing observation of the Person while in the Time-out Room at least every fifteen minutes.
(10) Time-out Rooms shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
(a) Persons shall be placed in the Time-out Room immediately following a previously identified problem. Time delays are not allowed.
(b) Persons shall not be transported to another location for placement in a Time-out Room.
(c) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria.
(11) Mechanical restraints shall ensure the Person's safety in breathing, circulation, and prevent skin irritation.
(a) Persons shall be placed in Mechanical Restraints immediately following the identified problem. Time delays are not allowed.
(b) Persons shall not be transported to another location for Mechanical Restraints.
(12) Mechanical Restraints shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
(a) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria. The plan shall also specify maximum time limits for single application and multiple use.
(b) Behavior Support Plans shall include specific requirements for monitoring the Person, before, during, and after application of the restraint to ensure health and safety.
(c) Provider staff shall document their observation of the Person as specified in the Behavior Support Plan.
(13) Manual restraints shall ensure the Person's safety in breathing and circulation. Manual restraint procedures are limited to the Mandt System (Mandt), the Professional Assault Response Training (PART), ~~or~~ Supports Options and Actions for Respect (SOAR), or Safety Care ~~training~~ programs. Procedures not outlined in the programs listed above may only be used if pre-approved by the State Behavior Review Committee.
(14) Behavior Support Plans that include Manual Restraints shall provide information on the method of restraint, release criteria, and time limitations on use.

R539-4-5. Review and Approval Process.
(1) The Behavior Peer Review Committee shall review and approve the Behavior Support Plan annually. The plan may be implemented prior to the Behavior Peer Review Committee's review; however the review and approval must be completed within 60 calendar days of implementation.
(2) The Behavior Peer Review Committee's review and approval process shall include the following:
(a) A confirmation that appropriate Positive Behavior Supports, were fully implemented and revised as needed prior to the implementation of intrusive interventions.

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(b) Ensure the technical adequacy of the Functional Behavior Assessment and Behavior Support Plan based on principles from the fields of Positive Behavior Supports and applied behavior analysis.
(c) Ensure plans are in place to attempt reducing the use of intrusive interventions.
(d) Ensure that staff training and plan implementation are adequate.
~~(3) The Provider Human Rights Committee shall approve Behavior Support Plans with Level II and Level III Interventions annually. Review and approval shall focus on rights issues, including consent and justification for the use of intrusive interventions.~~
(4) The State Behavior Review Committee must consist of at least three members, including representatives from the Division, Provider, and an independent professional having a recognized expertise in Positive Behavior Supports. The Committee shall review and approve the following:
(a) Behavior Support Plans that include Time-out Rooms, Mechanical Restraints or Highly Noxious Stimuli.
(b) Behavior Support Plans that include forms of Manual Restraint or Exclusionary Time-out used for long-term behavior change and not used in response to an emergency situation.
(c) Behavior Support Plans that include manual restraint not outlined in Mandt, PART ~~or~~ SOAR, or Safety Care ~~training~~ programs.
(5) The Committee shall determine the time-frame for follow-up review.
(6) Behavior Support Plans shall be submitted to the Division's state office for temporary approval prior to implementation pending the State Behavior Review Committee's review of the plan.
~~(7) Families participating in Self-Administered Services may seek State Behavior Review Committee recommendations, if desired.~~

R539-4-6. Emergency Behavior Interventions.
(1) Emergency Behavior Interventions may be necessary to prevent clear and imminent threat of injury or property destruction during emergency situations.
(2) Non intrusive interventions shall be used first in emergency situations, if possible.
(3) The least intrusive shall be used in emergency situations. The length of time in which the intervention is implemented shall be limited to the minimum amount of time required to resolve the immediate emergency situation.
(4) Each use of Emergency Behavior Interventions and a complete Emergency Behavior Intervention Review shall be documented by the Provider on Division Form 1-8 and forwarded to the Division, as outlined in the Provider's Service Contract with the Division.
(a) The Emergency Behavior Intervention Review shall be conducted by the Provider supervisor or specialist and staff involved with the Emergency Behavior Intervention. The review shall include the following:
(i) The circumstances leading up to and following the problem.
(ii) If the Emergency Behavior Intervention was justified.
(iii) Recommendations for how to prevent future occurrences, if applicable.
(5) The Person's Support Coordinator shall review Form 1-8 received from Providers and document the follow-up action.
(6) If Emergency Behavior Interventions are used three times, or for a total of 25 minutes, within 30 calendar days, the Team shall meet within ten business days of the date the above criteria are met to review the interventions and determine if:
(a) A Behavior Support Plan is needed;
(b) Intrusive are required in the Behavior Support Plan;
(c) Technical assistance is needed;

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(d) Arrangements should be made with other agencies to prevent or respond to future crisis situations; or
(e) Other solutions can be identified to prevent future use of Emergency Behavior Interventions.
R539-4-3 Definitions
(d) "Contingent Rights Restrictions" means a Level III Intervention resulting in the temporary loss of rights based upon the occurrence of a previously identified problem.
(f) "Emergency Rights Restriction" means a Level II Intervention temporarily denying or restricting access to personal property, privacy, or travel in order to prevent imminent injury to the Person, others, or property. Rights are reinstated when immediate danger is resolved.
(n) "Level II Intervention" means intrusive procedures that may be used in pre-approved Behavior Support Plans or as Emergency Behavior Interventions. Approved interventions include Enforced Compliance, Manual Restraint, Exclusionary Time-out, Mildly Noxious Stimuli, and Emergency Rights Restrictions.
(o) "Level III Intervention" means intrusive procedures that are only used in pre-approved Behavior Support Plans. Approved interventions include Time-out rooms, Mechanical Restraint, Highly Noxious Stimuli, overcorrection, Contingent Rights Restrictions, Response Cost, and Satiation.
R539-3-4. Human Rights Committee.
(1) This rule applies to the Division, Persons funded by the Division, Providers, Providers' Human Rights Committees, and the Division Human Rights Council.
(2) All Persons shall have access to a Provider Human Rights Committee with the exception of the following:
(a) Persons receiving physical disabilities services.
(b) Families using the Self-Administered Model.
(c) Persons receiving only family supports or respite.
(3) The Provider Human Rights Committee approves the services agencies provide relating to rights issues, such as rights restrictions and the use of intrusive behavior supports. In addition, the Committee provides recommendations relating to abuse and neglect prevention, rights training, and supporting people in exercising their rights.
(4) Any interested party may request that the rights of a Person be reviewed by a Provider Human Rights Committee by contacting the Person's Provider agency verbally or in writing.
(5) Any interested party may request an appeal of the Provider Human Rights Committee decision by sending a request to the Division, 195 North 1950 West, Salt Lake City, UT 84116. The Division shall make a decision whether there will be a review and shall notify the Person, Provider, and Support Coordinator concerning the decision within eight business days. The notification shall contain a statement of the issue to be reviewed and the process and timeline for completing the review.
Documentation Requirements
Human rights violations that include unauthorized use of physical, mechanical, or chemical restraints, seclusion rooms, and infringement of personal privacy rights experienced by the Person that would otherwise require a human rights review process must be reported as a Level I Critical Incident. Providers must submit notification of an incident within 24 hours of discovery to the support coordinator and the person’s guardian. Notification to the support coordinator is made through the Utah Provider Interface (UPI). A detailed report must be completed in UPI within 5 days of discovery.

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~~All eight elements for modifications, as described in the Settings Rule, will be addressed in the person-centered plan. Answers for each element must be documented in the plan for each modification. The plan requires signed informed consent prior to activation.~~

~~Whenever there is discrepancy between it and OL requirements, we defer to OQD to assist in determining course of action. We have proposed the following rule change to assist in processing of incidents moving forward: (3) All occurrences of Emergency Behavior Interventions that are not approved for use in the behavior support plan or resulting in a critical incident in a licensed setting as defined in Licensing Rule 501-1-2 shall be documented by the provider through an incident report as outlined in the provider's service contract and in accordance with Licensing Rule 501-1-9-2~~
~~(4) All incident reports shall be reviewed by the Office of Licensing and the person's support coordinator.~~
~~(a) In licensed settings, the Office of Licensing will assess the provider's compliance with Licensing Rules through incident report review and/or incident investigation.~~
~~(i)the Office of Licensing is responsible for all follow-up action regarding the provider when the provider is licensed.~~
~~(ii)the support coordinator is responsible for all follow up action regarding the person in both licensed and non-licensed settings.~~
~~(iii) OQD is responsible for investigating non-licensed incidents and managing any contract compliance concerns noted by any entity during the course of the review or investigation.~~

ii. State Oversight Responsibility. Specify the state agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

The SMA reviews incident reports of participants in the review sample that pertain to the use of restrictive interventions. The SMA also reviews participant records and conducts interviews with providers and participants to determine if all incidents of restrictive interventions have been reported and appropriately administered. Behavior support plans are also reviewed to determine if the use of restrictive interventions have been appropriately addressed in the plan including safeguards that address the health and welfare of the participant ~~and that human rights committees have appropriately reviewed and approved the use of restrictive interventions. The reviews are conducted, at a minimum, every five years. The sample size for each review will be sufficient to provide a confidence level equal to 95% and a confidence interval equal to 5.~~

The Operating Agency has the day to day responsibility to assure that appropriate procedures are followed regarding the implementation of the use of restrictive interventions~~restraints and seclusion~~. All use of emergency ~~Level II~~ intrusive interventions are recorded by providers on incident reports and reviewed at least monthly by support coordinators. ~~The Human Rights Committee reviews all emergency Level II intrusive interventions.~~ All programmatic use of ~~Level II~~ intrusive interventions are reviewed and approved annually by the participant's team~~,~~ and Behavior Peer Review.~~,~~ ~~and Human Rights Committee.~~ All programmatic use of intrusive ~~Level II~~ interventions are summarized in provider's Behavior Consultation Services Progress Notes and reviewed at least monthly by support coordinators. ~~State Quality Management and State Behavior Specialist will review data at least annually.~~

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Office of Service Review (OSR) manages all behavior support plans and human rights issues related to incidents and restraints. Office of Licensing (OL) core rule R501-2 governs restraints and behavior management in licensed settings. Investigative teams look into all incidents reported according to rule requirements and note violations as appropriate. OSR is involved to add to any noted violations of contract. Trends and patterns are noted in OL database and DSPD Database (USTEPS).
~~Operating Agency is DHHS: (OL and DSPD and OSRQRD) all coordinate efforts to manage incidents on an ongoing basis. OSRQD/DSPD oversee Human Rights committee, Quality Management and compilation of findings/data analysis. OL oversees minimum health and safety standards across all licensed settings (MANY of OL's licenses are not for DSPD recipients, but incident processing and rules were tailored to include all key elements of incidents and processes to satisfy SMA for waiver recipients as well as meet private provider needs.~~

~~The SMA actively participates in the immediate oversight of Level 1 incidents and quarterly review of Level 2 incidents and has a standing member on the OA's Human Rights Council.~~

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:
X	**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 in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Utah Administrative Rules describe the use of seclusion and the safeguards in place to protect participants when seclusion is used, including:

R539-3-10. Prohibited Procedures.
(1) The following procedures are prohibited for Division staff and Providers, including staff hired for Self-Administered Services, in all circumstances in supporting Persons receiving Division funding:
(a) Physical punishment, such as slapping, hitting, and pinching.

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(b) Demeaning speech to a Person that ridicules or is abusive.
(c) Locked confinement in a room. [definition of seclusion]
(d) Denial or restriction of access to assistive technology devices, except where removal prevents injury to self, others, or property as outlined in Sections R539-3-6 and R539-4-7.
(e) Withholding or denial of meals, or other supports for biological needs, as a consequence or punishment for problems.
(f) Any intrusive~~Level II or Level III~~ intervention, as defined in R539-4-3(n) and R539-4-3(o), used as coercion, as convenience to staff, or in retaliation.
(g) Any procedure in violation of R495-876, R512-202, R510-302, 62A-3-301 thru 62A-3-321, and 62A-4a- 402 thru 62A-4a-412 prohibiting abuse.
R539-4-4. Levels of Behavior Interventions.
(2) All Behavior Support Plans shall be implemented only after the Person or Guardian gives consent and the Behavior Support Plan is approved by the Team.
(3) All Behavior Support Plans shall incorporate Positive Behavior Supports with the least intrusive, effective treatment designed to assist the Person in acquiring and maintaining skills, and preventing problems.
(4) Behavior Support Plans must:
(a) Be based on a Functional Behavior Assessment.
(b) Focus on prevention and teach replacement behaviors.
(c) Include planned responses to problems.
(d) Outline a data collection system for evaluating the effectiveness of the plan.
(5) All Provider staff involved in implementing procedures outlined in the Behavior Support Plan shall be trained and demonstrate competency prior to implementing the plan.
(a) Completion of training shall be documented by the Provider.
(b) The Behavior Support Plan shall be available to all staff involved in implementing or supervising the plan.
(8) Intrusive interventions ~~Level II Interventions~~ may be used in pre-approved Behavior Support Plans or emergency situations. [Includes manual restraint].
(9) Intrusive Interventions~~IntrusiveLevel III Interventions~~ may only be used in pre-approved Behavior Support Plans. [Includes mechanical restraint and seclusion (time-out room)].
(10) Behavior Support Plans that utilize intrusive~~Level II or Level III I~~ interventions shall be implemented only after Positive Behavior Supports,~~ including Level I Interventions,~~ are fully implemented and shown to be ineffective. A rationale on the necessity for the use of intrusive procedures shall be included in the Behavior Support Plan.
(11) Time-out Rooms shall be designed to protect Persons from hazardous conditions, including sharp corners and objects, uncovered light fixtures, and unprotected electrical outlets. The rooms shall have adequate lighting and ventilation.
(a) Doors to the Time-out Room may be held shut by Provider staff, but not locked at any time.
(b) Persons shall remain in Time-out Rooms no more than 2 hours per occurrence.

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(c) Provider staff shall monitor Persons in a Time-out Room visually and auditorially on a continual basis. Staff shall document ongoing observation of the Person while in the Time-out Room at least every fifteen minutes.
(12) Time-out Rooms shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
(a) Persons shall be placed in the Time-out Room immediately following a previously identified problem. Time delays are not allowed.
(b) Persons shall not be transported to another location for placement in a Time-out Room.
(c) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria.
(13) Mechanical restraints shall ensure the Person's safety in breathing, circulation, and prevent skin irritation.
(a) Persons shall be placed in Mechanical Restraints immediately following the identified problem. Time delays are not allowed.
(b) Persons shall not be transported to another location for Mechanical Restraints.
(14) Mechanical Restraints shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
(a) Behavior Support Plans must outline specific release criteria that may include time and behavior components. Time asleep must count toward time-release criteria. The plan shall also specify maximum time limits for single application and multiple use.
(b) Behavior Support Plans shall include specific requirements for monitoring the Person, before, during, and after application of the restraint to ensure health and safety.
(c) Provider staff shall document their observation of the Person as specified in the Behavior Support Plan.
(15) Manual restraints shall ensure the Person's safety in breathing and circulation. Manual restraint procedures are limited to the Mandt System (Mandt), the Professional Assault Response Training (PART), Supports Options and Actions for Respect (SOAR), or Safety Care training programs. Procedures not outlined in the programs
listed above may only be used if pre-approved by the State Behavior Review Committee.
(16) Behavior Support Plans that include Manual Restraints shall provide information on the method of restraint, release criteria, and time limitations on use.

R539-4-5. Review and Approval Process.
(1) The Behavior Peer Review Committee shall review and approve the Behavior Support Plan annually. The plan may be implemented prior to the Behavior Peer Review Committee's review; however the review and approval must be completed within 60 calendar days of implementation.
(2) The Behavior Peer Review Committee's review and approval process shall include the following:

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(a) A confirmation that appropriate Positive Behavior Supports, ~~including Level I Interventions, were~~ fully implemented and revised as needed prior to the implementation of intrusive interventions ~~Level II or Level III Interventions.~~
(b) Ensure the technical adequacy of the Functional Behavior Assessment and Behavior Support Plan based on principles from the fields of Positive Behavior Supports and applied behavior analysis.
(c) Ensure plans are in place to attempt reducing the use of intrusive interventions.
(d) Ensure that staff training and plan implementation are adequate.
(3) ~~The Provider Human Rights Committee shall approve Behavior Support Plans with Level II and Level III Interventions annually. Review and approval shall focus on rights issues, including consent and justification for the use of intrusive interventions.~~
(4) The State Behavior Review Committee must consist of at least three members, including representatives from the Division, Provider, and an independent professional having a recognized expertise in Positive Behavior Supports. The Committee shall review and approve the following:
(a) Behavior Support Plans that include Time-out Rooms, Mechanical Restraints or Highly Noxious Stimuli.
(b) Behavior Support Plans that include forms of Manual Restraint or Exclusionary Time-out used for long-term behavior change and not used in response to an emergency situation.
(c) Behavior Support Plans that include manual restraint not outlined in Mandt, PART, SOAR, Safety Care, or CPI training programs.
(5) The Committee shall determine the time-frame for follow-up review.
(6) Behavior Support Plans shall be submitted to the Division's state office for temporary approval prior to implementation pending the State Behavior Review Committee's review of the plan.
(7) Families participating in Self-Administered Services may seek State Behavior Review Committee recommendations, if desired.

R539-4-6. Emergency Behavior Interventions.
(1) Emergency Behavior Interventions may be necessary to prevent clear and imminent threat of injury or property destruction during emergency situations.
(2) Intrusive Interventions~~Intrusive~~~~Level I Interventions~~ shall be used first in emergency situations, if possible.

(3) The least intrusive i~~Level II I~~nterventions shall be used in emergency situations. The length of time in which the intervention is implemented shall be limited to the minimum amount of time required to resolve the immediate emergency situation.
(4) Each use of Emergency Behavior Interventions and a complete Emergency Behavior Intervention Review shall be documented by the Provider on Division Form 1-8 and forwarded to the Division, as outlined in the Provider's Service Contract with the Division.
(a) The Emergency Behavior Intervention Review shall be conducted by the Provider supervisor or specialist and staff involved with the Emergency Behavior Intervention. The review shall include the following:

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(i) The circumstances leading up to and following the problem.
(ii) If the Emergency Behavior Intervention was justified.
(iii) Recommendations for how to prevent future occurrences, if applicable.
(5) The Person's Support Coordinator shall review Form 1-8 received from Providers and document the follow-up action.
(6) If Emergency Behavior Interventions are used three times, or for a total of 25 minutes, within 30 calendar days, the Team shall meet within ten business days of the date the above criteria are met to review the interventions and determine if:
(a) A Behavior Support Plan is needed;
(b) Intrusive Interventions are required in the Behavior Support Plan;
(c) Technical assistance is needed;
(d) Arrangements should be made with other agencies to prevent or respond to future crisis situations; or
(e) Other solutions can be identified to prevent future use of Emergency Behavior Interventions.
~~(7) The Provider's Human Rights Committee shall review each use of Emergency Behavior Interventions.~~

~~B. R539-4-3 Definitions~~

~~C. (n) "Level II Intervention" means intrusive procedures that may be used in pre-approved Behavior Support Plans or as Emergency Behavior Interventions. Approved interventions include Enforced Compliance, Manual Restraint, Exclusionary Time-out, Mildly Noxious Stimuli, and Emergency Rights Restrictions.~~

~~D. (o) "Level III Intervention" means intrusive procedures that are only used in pre-approved Behavior Support Plans. Approved interventions include Time-out rooms, Mechanical Restraint, Highly Noxious Stimuli, overcorrection, Contingent Rights Restrictions, Response Cost, and Satiation~~

~~E.~~

~~F. R539-4-4. Levels of Behavior Interventions.~~

~~G. (1) The remainder of this rule applies to all Division staff and Providers, but does not apply to employees hired for Self-Administered Services.~~

~~H. (2) All Behavior Support Plans shall be implemented only after the Person or Guardian gives consent and the Behavior Support Plan is approved by the Team.~~

~~I. (3) All Behavior Support Plans shall incorporate Positive Behavior Supports with the least intrusive, effective treatment designed to assist the Person in acquiring and maintaining skills, and preventing problems.~~

~~J. (4) Behavior Support Plans must:~~

~~K. (a) Be based on a Functional Behavior Assessment.~~

~~L. (b) Focus on prevention and teach replacement behaviors.~~

~~M. (c) Include planned responses to problems.~~

~~N. (d) Outline a data collection system for evaluating the effectiveness of the plan.~~

~~O. (5) All Provider staff involved in implementing procedures outlined in the Behavior Support Plan shall be trained and demonstrate competency prior to implementing the plan.~~

~~P. (a) Completion of training shall be documented by the Provider.~~

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Q. (b) The Behavior Support Plan shall be available to all staff involved in implementing or supervising the plan.
R. (6) Level I interventions may be used informally, in written support strategies, or in Behavior Support Plans without approval.
S. (7) Behavior Support Plans that only include Level I Interventions do not require approval or review by the Behavior Peer Review Committee or Provider Human Rights Committee.
T. (8) Level II Interventions may be used in pre-approved Behavior Support Plans or emergency situations.
U. (9) Level III Interventions may only be used in pre-approved Behavior Support Plans.
V. (10) Behavior Support Plans that utilize Level II or Level III Interventions shall be implemented only after Positive Behavior Supports, including Level I Interventions, are fully implemented and shown to be ineffective. A rationale on the necessity for the use of intrusive procedures shall be included in the Behavior Support Plan.
W. (11) Time-out Rooms shall be designed to protect Persons from hazardous conditions, including sharp corners and objects, uncovered light fixtures, and unprotected electrical outlets. The rooms shall have adequate lighting and ventilation.
X. (a) Doors to the Time-out Room may be held shut by Provider staff, but not locked at any time.
Y. (b) Persons shall remain in Time-out Rooms no more than 2 hours per occurrence.
Z. (c) Provider staff shall monitor Persons in a Time-out Room visually and auditorially on a continual basis. Staff shall document ongoing observation of the Person while in the Time-out Room at least every fifteen minutes.
AA. (12) Time-out Rooms shall be used only upon the occurrence of problems previously identified in the Behavior Support Plan.
BB.
CC. R539-4-5. Review and Approval Process.
DD. (1) The Behavior Peer Review Committee shall review and approve the Behavior Support Plan annually. The plan may be implemented prior to the Behavior Peer Review Committee's review; however the review and approval must be completed within 60 calendar days of implementation.
EE. (2) The Behavior Peer Review Committee's review and approval process shall include the following:
FF. (a) A confirmation that appropriate Positive Behavior Supports, including Level I Interventions, were fully implemented and revised as needed prior to the implementation of Level II or Level III Interventions.
GG. (b) Ensure the technical adequacy of the Functional Behavior Assessment and Behavior Support Plan based on principles from the fields of Positive Behavior Supports and applied behavior analysis.
HH. (c) Ensure plans are in place to attempt reducing the use of intrusive interventions.
II. (d Ensure that staff training and plan implementation are adequate.
JJ. (3) The Provider Human Rights Committee shall approve Behavior Support Plans with Level II and Level III Interventions annually. Review and approval shall focus on rights issues, including consent and justification for the use of intrusive interventions.

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KK. (4) The State Behavior Review Committee must consist of at least three members, including representatives from the Division, Provider, and an independent professional having a recognized expertise in Positive Behavior Supports. The Committee shall review and approve the following:

LL. (a) Behavior Support Plans that include Time-out Rooms, Mechanical Restraints or Highly Noxious Stimuli.

MM. (b) Behavior Support Plans that include forms of Manual Restraint or Exclusionary Time-out used for long-term behavior change and not used in response to an emergency situation.

NN. (c) Behavior Support Plans that include manual restraint not outlined in Mandt, PART, SOAR, Safety Care, or CPI training programs.

OO. (5) The Committee shall determine the time-frame for follow-up review.

PP. (6) Behavior Support Plans shall be submitted to the Division's state office for temporary approval prior to implementation pending the State Behavior Review Committee's review of the plan.

QQ. (7) Families participating in Self-Administered Services may seek State Behavior Review Committee recommendations, if desired.

RR.

SS. DHS90743 Contract Scope of Work

TT. Within 30 days of hire, provider employees must be trained in "[t]he use of positive behavior supports as a first response in behavioral crisis prevention and intervention in accordance with Utah Administrative Code, Rule R539-4."

UU.

VV. Documentation Requirements

WW. Use of Emergency Behavioral Interventions as defined by R539-4-6 and use of restraints or a seclusion room, even when identified in the Person's Behavior Support Plan must be reported as a Level III Incident. Human rights violations that include unauthorized use of physical, mechanical, or chemical restraints, seclusion rooms, and infringement of personal privacy rights experienced by the Person that would otherwise require a human rights review process must be reported as a Level I Critical Incident. Providers must submit notification of an incident within 24 hours of discovery to the support coordinator and the person's guardian. Notification to the support coordinator is made through the Utah Provider Interface (UPI). A detailed report must be completed in UPI within 5 days of discovery.

XX. All eight elements for modifications, as described in the Settings Rule, will be addressed in the person-centered plan. Answers for each element must be documented in the plan for each modification. The plan requires signed informed consent prior to activation.

YY.

ZZ.

i. 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:

The SMA monitors the use of seclusion during formal reviews and also when reviewing critical incident notifications. The SMA reviews participant records and conducts interviews with providers and participants to determine if all incidents of seclusion have been reported and appropriately administered. Behavior Support Plans are also reviewed to determine if the use of seclusion has been appropriately addressed in the plan including

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~~safeguards that address the health and welfare of the participant and that the Human Rights Committee has appropriately reviewed and approved the use of seclusion.~~ The SMA has established a Critical Incident/Event Notification system that requires the operating agency to notify the SMA of any serious incidents. The SMA reviews, on an ongoing basis, 100% of the use of seclusion that is reported as part of critical incident notifications.

The operating agency has the day- to- day responsibility to assure that appropriate procedures are followed regarding the implementation of the use of seclusion. All uses of time-out rooms are recorded on incident reports and are reviewed at least monthly by support coordinators. ~~The Provider Human Rights Committee reviews all emergency seclusion use.~~ All programmatic use of time-out rooms is reviewed and approved annually by the participant's PCSP team and~~,~~ Provider Behavior Peer Review.~~,~~ ~~and Provider Human Rights Committee.~~ All programmatic use of time-out rooms is also summarized in provider's Behavior Consultation Service Progress Notes and reviewed at least monthly by Support Coordinators.

The SMA actively participates in the immediate oversight of Level 1 incidents and quarterly review of Level 2 incidents.~~ and has a standing member on the OA's Human Rights Council.~~

Unauthorized use, overuse, or inappropriate/ineffective use of seclusion must be reported through the critical incident process. Incidents of this nature are considered level one critical incidents, requiring investigation by the SMA to ensure development and implementation of prevention strategies, support coordinator follow-up, and State requirements are followed. Additionally, support coordinator monthly contact addresses any suspicion of abuse, neglect, or exploitation. Support coordinators are mandatory reporters and therefore must report any suspicion of abuse, neglect, or exploitation to Adult Protective Services, Child Protective Services, and other authorities as appropriate. Constituent Services within both the SMA and the OA will accept any report of abuse, neglect, exploitation including unauthorized use, overuse, or inappropriate/ineffective use of restraints. Finally, the support coordinator is responsible to review any human rights restriction plans for the individuals they serve to assure the health and welfare of the individual and ensure their human rights are protected.

The OA compiles and analyzes critical incident data at a minimum of quarterly in order to prevent re-occurrence of similar incidents. Critical incident trends are identified for systemic intervention, and targeted improvement strategies are implemented by the OA. Improvement strategies can include interventions targeted toward specific providers, identified provider types, individuals in services, or select groups based on demographics such as regional location, gender, age, sexual orientation; among others. The Quality Improvement Committee which is composed of representatives from the SMA, the Division of Services for People with Disabilities, the Office of Quality and Design, and the Division of Licensing reviews critical incident data and associated improvement strategies at a minimum of quarterly and provides support for collaborative inter-agency improvement strategy implementation. The SMA receives quarterly reports on critical incident data, trends, and prevention strategies.

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Appendix G-3: Medication Management and Administration

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)*
X	**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.

Entities With Responsibility for Monitoring:
1. Providers for the services Residential Habilitation, Supported Living, Day Supports, Personal Assistance, Professional Medication Monitoring, Professional Nursing Services, Respite, and Extended Living Supports, may have day-to-day ongoing responsibility for monitoring participant medication regimens. Providers must ensure Staff are competent in specific areas of medication assistance that are outlined in the Provider Contract.
2. DSPD performs ongoing monitoring and follow up activities related to medication errors/incidents. DSPD Contract Analysts, Support Coordinators, Nurses, and Supervisors monitor provider staff competency and training requirements.
3. The State Medicaid Agency (SMA) has ongoing authority and responsibility to oversee and monitor medication incidents and serious issues. The SMA conducts Quality Assurance Reviews to evaluate provider performance measures related to medications. The SMA reviews and approves medication monitoring policies and procedures developed by DSPD.

Methods for Conducting Monitoring:
1. Providers are required to train all applicable staff in medication assistance procedures. Training records are maintained to verify compliance. Providers are required to perform quality assurance activities and improvements which may include medication record reviews.
2. DHHS/OSR certifies new providers before contracting for services. Medication training and competency is part of the certification process. DHHS/OSR also conduct regular contract reviews to verify provider compliance with medication training and competency. OSR conducts ad hoc monitoring of providers when complaints are made to ensure competence and adherence to contract expectations. ~~Psychotropic medications, which require a Psychotropic Medication Plan, are monitored through the DSPD Human Rights Committee. The committee determines appropriateness of the Psychotropic Medication Plan, and reviews any human rights restrictions.~~
3. The SMA conducts Quality Assurance Reviews which include Performance Measures to monitor provider compliance with medication management, including psychotropic medications. When adverse practices are discovered, a remediation is cited in the review which requires DHHS/OSR to provide a plan of correction.

Frequency of Monitoring:
1. Providers must train all new staff in medication competencies within 30 days of employment. The provider and provider's staff must demonstrate medication competency as stated in the contractual agreement.
2. DHHS/OSR conduct ~~contract reviews are completed~~ regular ~~annually~~ contract reviews for each provider. Medication competency is reviewed as part of this process. OSR conducts ad hoc reviews for a percentage of providers on an annual basis to review medication competency.
3. The SMA conducts Quality Assurance Reviews at a minimum of every two years to determine compliance with medication. The SMA also responds to serious complaints or incidents that may involve medication issues on an on-going basis.

Scope of monitoring:
1. All participants' health and medication needs are reviewed annually by the support coordinator, providers, participant, family, and any other support team members, as part of the Person Centered Planning Process.
2. Participants that require testing and nursing services necessary to provide medication management may receive the Professional Medication Monitoring Service which includes regularly scheduled periodic visits by a nurse.
3. ??

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.

Methods used to ensure participant medications are managed appropriately
(a.) the identification of potentially harmful practices:
- Providers perform ongoing monitoring of self-directed self-administrated medication management by showing compliance with the contractual agreement of staff medication competencies.
- DHHS places a contractual obligation on its providers who participate in the supervised self-directed self-administration of waiver enrollee medications to utilize "blister-pack" medication packaging from licensed pharmacies whenever possible. The licensed pharmacy plays a role in monitoring medications for potentially harmful practices.
- Periodic monitoring of participant health and welfare is performed by the support coordinator.
- DHHS/OSR contract analyst reviews staff medication competencies through regular reviews.
- DHHS/OSR compiles and analyzes incident report data that includes medication errors.
- The SMA conducts Quality Assurance Reviews which include medication performance measures.
(b.) The method for following up on potentially harmful practices
- Notification of incidents (including medication errors) is required per contractual agreement to be submitted by the Provider to the DSPD support coordinator within 24 hours. A written incident report must be submitted within 5 days.

State:	
Effective Date	

- Each participant's record must contain a list of possible reactions and precautions for medications.
- The Provider must notify a licensed health care professional when medication errors occur.
- Medication errors must be incorporated into the QA process for that provider.
- Training is provided per Provider Contract on: types of errors to report, who to report errors to and how errors are followed up.

(c.) The State agency that is responsible for follow up and oversight.

- Providers are contractually obligated to furnish incident reports to DHHS/DSPD regarding medication errors and these reports are reviewed by both the DHHS Office of Licensing
- The SMA receives an annual Incident Report Summary from DSPD. which include an analysis of medication errors by Providers.

c. Medication Administration by Waiver Providers

i. Provider Administration of Medications. *Select one*:

◯	Not applicable (*do not complete the remaining items*)
X	**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).

Utah Nurse Practice Act
DSPD Provider Contract/DSPD Service Descriptions

iii. Medication Error Reporting. *Select one of the following:*

X **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:

All medication errors are reported to the Division of Services for People with Disabilities
Medication errors considered to be critical incidents are reported to the SMA.

(b) Specify the types of medication errors that providers are required to *record:*

Providers must record medication errors including: wrong dose, wrong time, wrong route, and wrong medication or missed medication.

(c) Specify the types of medication errors that providers must *report* to the state:

Any Medication error that occurs will be reported on an incident report form and will be reported to the support coordinator and the provider director or designee.

The employee must notify the support coordinator and representative within 24 hours of the development of any apparent medical need for the person.

Medication overdoses or medication errors reasonably requiring medical intervention must be reported to the DHHS Office of Licensing by the provider within 24 hours.

○ **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.

~~DSPD compiles an annual incident report which includes medication errors reported by providers.~~

DHHS/OSR conducts regular reviews of each provider ~~biannuallybiannually~~, identifies problems with medication management and requires follow-up remediation actions and quality improvement activities if the problem is systemic.

DHHS/OSR performs Ad Hoc reviews that may identify medication management problems, which require follow-up by the provider and incorporation into their quality assurance program.

The SMA receives the findings from the above monitoring activities on an on-going basis and as an annual report.

State:	
Effective Date	

The SMA has established an on-going Critical Incident Notification system that requires DSPD to notify the SMA of any serious incidents.

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.)*

i. **Performance Measures**

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

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

Performance Measure:	*Number and percentage of incidents involving abuse, neglect, exploitation and unexpected death of waiver participants where recommended actions to protect health and welfare were implemented. The numerator is the total number of reported incidents where recommended actions to protect health and welfare were implemented; the denominator is the total number of incidents requiring safeguards.*
Data Source *(Select one) (Several options are listed in the on-line application):*	

State:	
Effective Date	

If 'Other' is selected, specify: Incidents reports

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

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*☐ Annually*
	☐ Continuously and Ongoing
	X☐ Other Specify: Every two years

Add another Performance measure (button to prompt another performance measure)

State:	
Effective Date	

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.

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 percentage of quarterly critical incident reports submitted to the SMA which demonstrate how incident data are collected, compiled, and used to prevent re-occurrence. The numerator is the number of reports which demonstrate how incident data are collected, compiled, and used to prevent re-occurrence; the denominator is the total number of reports required.*			
Data Source *(Select one) (Several options are listed in the on-line application):*				
If 'Other' is selected, specify:				
Participant records, Participant Support plans, Participant interviews and Provider interviews				
	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)*	
	X State Medicaid Agency	*☐ Weekly*	*X 100% Review*	
	X Operating Agency	*☐ Monthly*	*☐ Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*☐ Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*		
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

Data Aggregation and Analysis

State:	
Effective Date	

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

Add another Performance measure (button to prompt another performance measure)

c. Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.

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:	*# & % incidents identifying unauthorized use of restrictive interventions (including restraints/seclusion) appropriately reported, investigated & for which recommended follow-up was completed. Numerator is total # of these types of incidents reviewed that were appropriately reported, investigated and had recommended follow-up; Denominator is total # of these types of incidents.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
Participant records and incident reports			
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*

State:	
Effective Date	

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

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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.

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 participants whose Person Centered Support Plan (PCSP) addresses their health needs. Numerator = Number of participants whose PCsP addresses their health needs. Denominator = Number of PCSPs reviewed.*			
Data Source *(Select one) (Several options are listed in the on-line application):*				
If 'Other' is selected, specify:				
PCSP, Log Notes, Incident Reports				
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*	
	☐ State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*	
	X Operating Agency	*☐ Monthly*	*X Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*X Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*		*95% confidence interval, 5% margin of error*
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
X Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*

State:	
Effective Date	

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

Add another Performance measure (button to prompt another performance measure)

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.

Referrals are made to Adult Protective Services and/or law enforcement according to State laws. Prevention strategies are developed and implemented, when abuse, neglect, or exploitation are reported. Health and welfare needs are addressed and steps are taken to resolve concerns in a timely manner and are documented in the record. In most cases face to face visits are conducted to verify that concerns are resolved. When a critical incident occurs at a provider location, the provider must notify the support coordinator within twenty-four hours of the discovery of the occurrence. In addition, when an incident occurs at a provider location, providers must document the details of the incident on Form 1-8 and submit this form to the Support Coordinator within five business days of the discovery of the incident. The SMA Quality Assurance Team conducts monitoring when notified by DHHS/DSPD of a level one critical incident or event.

~~DHHS/OSR conducts reviews of each provider every other year to assure and evaluate the provider's Quality Improvement Plan, which includes incident reporting and Human Rights Plans. When a fatality occurs, the Fatality Review Committee reviews the death and submits a written report to the DSPD director. If follow up is required, DSPD and the Director submit a report commenting on the findings and recommendations to the Fatality Review Committee within 15 working days. This report includes an action plan to implement recommended improvements. The DSPD Director is responsible for ensuring the recommendations are implemented.~~
DHHS/OSR and DSPD conducts reviews of each provider every other year to assure and evaluate the provider's Quality Improvement Plan, which includes incident reporting and Human Rights Plans. When a fatality occurs, the Fatality Review Committee reviews the death and submits a written report to the DSPD director. If recommendations are identified, DHHS Director submits a report commenting on the findings and recommendations to the Fatality Review Committee within 30 calendar days. This response will include an action plan to implement recommended improvements. The DSPD Director is responsible for ensuring the recommendations are implemented.

The ~~SM~~OA conducts an annual review of the CTW program for each of the five waiver years. At a minimum one comprehensive review will be conducted during this five year cycle. The other annual reviews will be focused reviews. The criteria for the focused reviews will be determined from DHHS/DSPD and SMA review findings as well as other issues that develop during the review year.

State:	
Effective Date	

b. Methods for Remediation/Fixing Individual Problems

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

Individual issues identified that affect the health and welfare of individual participants are addressed immediately. These issues are addressed in a variety of ways, and may include: a) direct contact for additional information if any, and b) informal discussion or formal (written) notice of adverse findings. The SMA will use discretion in determining notice requirements depending on the findings. Examples of issues requiring intervention by the SMA would include: overpayments; allegations or substantiated violations of health and safety; necessary involvement of APS and/or local law enforcement; or issues involving the State's Medicaid Fraud Control Unit or Office of Inspector General.

ii. **Remediation Data Aggregation**

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

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.

X	**No**
◯	**Yes**

State:	
Effective Date	

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

State:	
Effective Date	

Appendix H: Quality Improvement Strategy

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.

State:	
Effective Date	

Quality Improvement Strategy: Minimum Components

The Quality Improvement Strategy that will be in effect during the period of the approved waiver is described throughout the waiver in the appendices corresponding to the statutory assurances and sub-assurances. Other documents cited must be available to CMS upon request through the Medicaid agency or the operating agency (if appropriate).

In the QIS discovery and remediation sections throughout the application (located in Appendices A, B, C, D, G, and I), a state spells out:

- The evidence based discovery activities that will be conducted for each of the six major waiver assurances; and
- The remediation activities followed to correct individual problems identified in the implementation of each of the assurances.

In Appendix H of the application, a state describes (1) the *system improvement* activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent *roles/responsibilities* of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously *assess the effectiveness of the QIS* and revise it as necessary and appropriate.

If the state's Quality Improvement Strategy is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its Quality Improvement Strategy, including the specific tasks the state plans to undertake during the period the waiver is in effect, the major milestones associated with these tasks, and the entity (or entities) responsible for the completion of these tasks.

When the Quality Improvement Strategy spans more than one waiver and/or other types of long-term care services under the Medicaid state plan, specify the control numbers for the other waiver programs and/or identify the other long-term services that are addressed in the Quality Improvement Strategy. In instances when the QMS spans more than one waiver, the state must be able to stratify information that is related to each approved waiver program. 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.

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.

Trending is accomplished as part of the SMA annual waiver review for each performance measure that is assessed that year. Graphs display the percentage of how well the performance measures are met for each fiscal year. Graphs from the previous years are presented side by side with the current year's results, thus allowing for tracking and trending of performance measures. After a three-year cycle of reviews (and annually thereafter), the performance measures will be analyzed to determine if, over time, a negative trend has occurred and if a systems improvement will address the problem. System improvement initiatives may be prioritized based on several factors including the health and welfare of participants, financial considerations, the intensity of the problem and the other performance measures relating to assurance being evaluated.

Additionally, a Quality Improvement Committee which includes representation from the SMA, the Division of Services for People with Disabilities, the Office of Quality and Design, and the Division of Licensing meets at least monthly to review discovery and remediation information, analyze that information, recommend system improvements, and analyze the effectiveness of the improvement initiatives. The Committee may generate or request quality improvement reports to monitor outcomes, evaluate the effectiveness of process and system improvements, and track and trend performance measures. Quality improvement reports which include the above information are compiled at a minimum of quarterly, more frequently as necessary, or in accordance with the Quality Improvement Plan for any performance measure with a rate of compliance below 86%. The Committee maintains an accountability tracker to assure designated research and reporting tasks assigned to each agency are completed as required.

ii. System Improvement Activities

Responsible Party *(check each that applies):*	**Frequency of monitoring and analysis** *(check each that applies):*
X State Medicaid Agency	**☐ Weekly**
X Operating Agency	**☐ Monthly**
☐ Sub-State Entity	**☐ Quarterly**
X Quality Improvement Committee	**X Annually**
☐ Other Specify:	**X Other** Specify:
	Third year of waiver operation

b. System Design Changes

State:	
Effective Date	

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 SMA will establish a Quality Improvement Committee consisting of the SMA Quality Assurance Team, the DSPD waiver manager, the DSPD Quality Team, the Office of Service Review, and the Division of Licensing and Background Checks, among others. The team will meet to assess the results of the systems design changes. The success of the systems changes will be based on criteria that must be met to determine that the change has been accomplished and also criteria that will determine that the systems change has been sustained or will be sustained. The Quality Improvement Committee will determine the sustainability criteria. Results of system design changes will be communicated to participants and families, providers, agencies and others through the Medicaid Information Bulletin, and the DSPD web site..

The Quality Improvement Committee utilizes data from quarterly and/or annual quality improvement reports to review findings and inform the development of any necessary Quality Improvement Plans. System improvement initiatives may be prioritized based on several factors including the health and welfare of participants, financial considerations, the intensity of the problem and the other performance measures relating to assurance being evaluated. All members of the Quality Improvement Committee can support the development of strategies to improve outcomes; action items are assigned to appropriate agency representatives in the accountability tracker to ensure research is conducted and strategies are fully developed in accordance with Committee timelines and expectations. The Committee assesses the effectiveness of system improvements through the review of quality improvement reports at a minimum of quarterly, more frequently as necessary, or in accordance with the Quality Improvement Plan for any performance measure with a rate of compliance below 86%.

ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

The Quality Improvement Strategy is a dynamic document that is continuously evaluated each year by the SMA's quality management team. The team evaluates the data collection process and makes changes as necessary to allow for accurate data collection and analysis. In addition, the Quality Improvement Committee will evaluate the QIS after the third year of the waiver operation. This committee will meet to discuss the elements of the QIS for each assurance, the findings relative to each performance measure and the contributions of all parties that conduct quality assurance of the CTW waiver. Improvements to the QIS will be made at this time and submitted in the following waiver renewal application.

H.2 Use of a Patient Experience of Care/Quality of Life Survey

a. Specify whether the state has deployed a patient experience of care or quality of life survey for its HCBS population in the last 12 months (*Select one):*

o No

X Yes *(Complete item H.2b)*

b. Specify the type of survey tool the state uses:

o HCBS CAHPS Survey;

X NCI Survey;

o NCI AD Survey;

o Other *(Please provide a description of the survey tool used)*:

State:	
Effective Date	

Appendix I: Financial Accountability

APPENDIX 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 agency will assure financial accountability for funds expended for home and community-based services, provide for an independent audit of its waiver program (except as CMS may otherwise specify for particular waivers), and it will maintain and make available to HHS, the Comptroller General, or other designees, appropriate financial records documenting the cost of services provided under the waiver, including reports of any independent audits conducted. Beyond state and federal laws regarding the submission of independent audits, the State does not require providers to have an independent audit.

The State conducts a single audit in conformance with the Single Audit Act of 1984, Public Law 98-502. The single state audit will be completed by the State Auditor or his designee.

DIVISION OF SERVICES FOR PEOPLE WITH DISABILITIES ROLE AND PROVIDER CONTRACTING REQUIREMENT

The Department of Health and Human Services (DHHS), through the Division of Services for People with Disabilities (DSPD) and the DHHS Office of Service Review (OSR~~QD~~), is the designated State agency responsible for planning and developing an array of services and supports for persons with disabilities living in Utah. State statute 62A-5-103, 1953 as amended, sets forth DSPD's authority and responsibility to:

1. Plan, develop and manage an array of services and supports for individuals with disabilities;
2. Contract for services and supports for persons with disabilities;
3. Approve, monitor and conduct certification reviews of approved providers; and
4. Develop standards and rules for the administration and operation of programs operated by or under contract with DSPD.

In accordance with DSPD's lead role and designated responsibilities, monies allocated for services for persons with disabilities are appropriated by the State Legislature to DSPD which in turn contracts with public and private providers for the delivery of services. To assure the proper accounting for State funds, DSPD enters into a written State contract with each provider. This State-specific requirement applies regardless of whether: 1) the State funds are used for State-funds only programs or are used to draw down FFP as part of a 1915(c) HCBS Waiver program, or 2) the target population includes Medicaid-eligible citizens. The State contract is the sole responsibility of, and is managed by, DSPD's parent agency, the Department of Health and Human Services.

In the case where a portion of the annual Legislative appropriation is designated for use as State matching funds for the Medicaid 1915(c) HCBS Waiver described herein, DSPD ~~certifies to the State Medicaid Agency (SMA), through an interagency agreement, that the State funds~~ will transfer to the Division of Integrated Health(DIH) the amount necessary to reimburse the quarterly State match portion of ~~projected~~ Medicaid expenditures paid through the PRISM system for waiver services.

As a result of the State's organizational structure described above:

1. All providers participating in this 1915(c) HCBS PD Waiver must: a) Fulfill the DSPD State contracting requirement as one of the waiver provider qualifications related to compliance with State law, and b) agree to bill the PRISM directly or voluntarily reassign payment to DHHS/DSPD.
2. ~~The State Medicaid Agency reimburses DSPD for any interim payments that are made for legitimate waiver service claims during the time the clean claim is being processed through thePRISM.~~
3. ~~The State Medicaid Agency receives from DSPD the State matching funds associated with the waiver expenditures prior to the State Medicaid Agency's drawing down Federal funds.~~
4. The State Medicaid Agency approves all proposed rules, policies and other documents related to 1915(c) waivers prior to adoption by the DSPD policy board.

SMA ROLE AND PROVIDER CONTRACT REQUIREMENT

The SMA, in fulfillment of its mandated authority and responsibilities related to the 1915(c) HCBS waiver programs, retains responsibility for negotiating a Medicaid Provider Agreement with each provider of waiver services. Unlike the DSPD State contract required of all providers of services to persons with disabilities who receive State monies, the Medicaid Provider Agreement is specific to providers of Medicaid funded services.

DHHS/DSPD requires submission of all mandatory State Audit requirements imposed on contracted providers by the State Auditor's Office. This information is a requirement of the contract entered into by DSPD and the provider.

During annual contract reviews, the DHHS Office of Service Review (OSR) reviews 100% of provider contracts over a two year period. A component of the reviews includes a review of payment histories and the documentation to support those payments. This ensures the services were received and the correct payment was made. Through the review of Financial Management Services providers, Personal Attendants are verified to meet the minimum requirements under the waiver.

The Office of Service Review~~Quality Management team~~ at DHHS selects two months of data during the past year and compares claims data with supporting documentation at the provider site (attendance records, time sheets, progress notes, etc.) for each client in the sample. If the reviewer notes inconsistencies, an expanded review may be completed. This may involve the expansion of the date range of information for a particular client, or additional clients to be added to the sample. As part of provider reviews, while 100% of providers are reviewed, 10% of the participants served by that provider are reviewed. The claims belonging to the specific provider, for that participant will be reviewed.

Review results are communicated to providers through a draft report of findings. The provider is then given an opportunity to supply evidence to refute the findings cited. Should evidence be supplied, it is considered by the OSR~~SMA/OA~~ prior to a final report being completed.

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When overpayments or other ineligible claims are identified by the OSR~~A~~, the OSR~~A~~ works with the SMA to return overpayment~~FFP amounts~~. The SMA receives the results of all audits performed including the initial presentation of findings to providers (which may include the identification of ineligible or overpayments). These communications include instructions for the provider on how they may refute or accept the findings, and in the case of ineligible or overpayments, how they may return funds to the DSPD or appeal the decision. DSPD will reimburse DIH the Federal Medicaid Assistance Percentage (FMAP) for all collected ineligible or overpayments as a result of the audit.

Providers are required to develop plans of correction when deficiencies are cited. Should a plan of correction be required by the provider, it is reviewed and approved prior to being implemented. During subsequent reviews, verification of items within the plan are reviewed. Should non-compliance continue, an expanded review may be completed, or a more aggressive plan may be required with more frequent reviews.

OSR~~A~~ provider contract reviews are conducted separately from post-payment audits completed by the Medicaid agency.

Entities such as DHHS~~OH~~ Internal Audit, State Office of lnspector General (OIG), Federal OIG, Office of Legislative Auditor General, Medicaid Fraud Control Unit, etc. may engage in additional review activities at their discretion.

For providers of Support Coordination Services, Medicaid recipients are ~~be~~ contacted by their Support Coordinators monthly to ensure that service delivery has been in accordance with the amount/frequency/duration listed on their support plans. Support Coordinators are then responsible for either allowing provider payments to be processed or identify any questionable requests for payment to the OSR~~A~~.

JOINT DSPD STATE CONTRACT/SMA PROVIDER AGREEMENT

~~Personal Attendant providers present challenges to the effective and efficient operation of the PD Waiver in particular. It is anticipated that this will be the sole instance in which individuals serving as Personal Attendants will be associated with the Medicaid program as enrolled providers. It is also anticipated that the number of participating Personal Attendants will be significant, thus imposing a substantial administrative effort to negotiate required contracts and agreements. Therefore, for purposes of the effective management of Personal Attendant waiver service providers only, a joint DSPD State Contract/SMA Provider Agreement (Joint Agreement) has been developed. The Joint Agreement complies with the content requirements of Medicaid Provider Agreement and requires the signature of the Personal Attendant waiver service provider, DSPD, and the SMA. The effective date of the contract is the date the document is signed by all three parties.~~

Upon enrollment into the CTW all participants receiving services through the self-directed services method are informed of their responsibility and sign a letter of agreement to monitor and manage all employee(s) hours and wages. They are required to receive, sign and copy all employee(s) timesheets and submit them to the FMS agent twice a month. The participant is responsible to verify the accuracy of all hours billed by the employee(s).

Each month the Support Coordinator reviews the billing statement and a monthly budget report generated by DSPD.

INTERAGENCY AGREEMENT FOR OPERATIONS AND ADMINISTRATION OF THE HCBS WAIVER

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A memorandum~~An memorandum~~ of understanding ~~interagency agreement~~ between the DIH and DSPD sets forth the respective responsibilities for the administration and operation of this waiver. The memorandum~~agreement~~ delineates the DIH's overall responsibility to provide management and oversight of the waiver including review and approval of all waiver related rules and policies to ensure compliance with Medicaid HCBS waiver rules and regulations. The memorandum also~~memorandumagreement also~~ delineates DSPD's roles in relation to the statutory responsibilities to develop the State's program for persons with disabilities. The nature of the memorandum enhances~~memorandumagreement enhances~~ provider access to the Medicaid program and quality assurance of services as well as defines the fiscal relationship between the two divisions~~agencies~~.

The major components of the agreement are:

1. Purpose and Scope;
2. Authority;
3. Definitions;
4. Waiver Program Administration and Operation Responsibilities;
5. Claims Processing;
6. Payment for Delegated Administrative Duties (including provisions for State match transfer);
7. Role Accountability and FFP Disallowances; and
8. Coordination of DHHS Policy Development as it relates to Implementation of the Medicaid Program.

Electronic Visit Verification (EVV):

Section 12006(a) of the 21st Century Cures Act mandates that states implement Electronic Visit Verification (EVV) for all Medicaid Personal Care Services and Home Health Services that require an in-home visit by a provider. This also applies to similar services delivered under Home and Community-Based Services waiver programs. EVV is required for all personal care services (PCS) and home health services (HHS) under Medicaid. Providers must select their own EVV service vendor and submit EVV records to the state within 3 months of submitting the claim for payment. The state is using a post-payment methodology to verify claims paid compared to EVV records. Each provider is audited annually.
For more information on EVV, visit medicaid.utah.gov/evv. Also see the Administrative Rule R414-522 for details on EVV requirements.

The following CSW services are or will be subject to EVV requirements:
- Chore Services
- Companion Services
- Family and Individual Training and Preparation Service
- Homemaker
- Massage Therapy
- Personal Assistance
- Respite (Excludes Daily Respite & Session Respite)
- Supported Living

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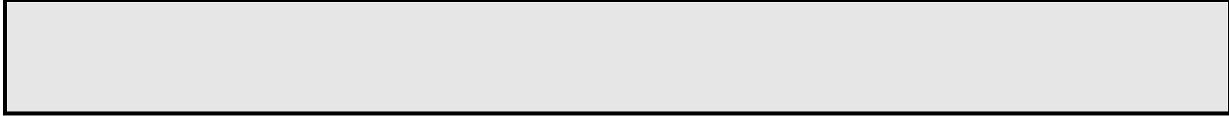

Quality Improvement: Financial Accountability

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

a. **Methods for Discovery: Financial Accountability Assurance**
The state must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program. *(For waiver actions submitted before June 1, 2014, this assurance read "State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.")*

i. Sub-assurances:

a Sub-assurance: The state provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered. *(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)*

a.i. 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:	*# & % of recoupments in a rep sample of participants which are identified & processed correctly through PRISM & have an audit trail of the TCN in error showing overpayments are returned to the fed gov within required timeframes. N=total # of recoupments for participants sampled which were identified, processed, & returned correctly; D=total # of recoupments identified in the participant sample*
Data Source *(Select one) (Several options are listed in the on-line application):*	
If 'Other' is selected, specify:	

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Participant Claims Data, SMA QA Review and CMS 64 Report.				
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*	
	X State Medicaid Agency	*☐ Weekly*	*☐ 100% Review*	
	☐ Operating Agency	*☐ Monthly*	*X Less than 100% Review*	
	☐ Sub-State Entity	*☐ Quarterly*		*X Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*		*95% Confidence Level, 5% Margin of Error*
		☐ Continuously and Ongoing		*☐ Stratified: Describe Group:*
		☐ Other Specify:		
				☐ Other Specify:

Add another Data Source for this performance measure

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*
X State Medicaid Agency	*☐ Weekly*
☐ Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

b. Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.

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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 percentage of maximum allowable rates (MARs) for covered Waiver services which are consistent with the approved rate methodology. The numerator is the total number of MARs which are consistent with the approved rate methodology; the denominator is the total number of MARs for covered waiver services.*		
Data Source *(Select one) (Several options are listed in the on-line application):*			
If 'Other' is selected, specify:			
Participant Claims Data, SMA QA Review and CMS 64 Report.			
	Responsible Party for data collection/generation *(check each that applies)*	***Frequency of data collection/generation:*** *(check each that applies)*	***Sampling Approach*** *(check each that applies)*
	X State Medicaid Agency	*☐ Weekly*	*X 100% Review*
	☐ Operating Agency	*☐ Monthly*	*☐ Less than 100% Review*
	☐ Sub-State Entity	*☐ Quarterly*	*☐ Representative Sample; Confidence Interval =*
	☐ Other Specify:	*X Annually*	
		☐ Continuously and Ongoing	*☐ Stratified: Describe Group:*
		☐ Other Specify:	
			☐ Other Specify:

Add another Data Source for this performance measure

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*

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X State Medicaid Agency	*☐ Weekly*
☐ Operating Agency	*☐ Monthly*
☐ Sub-State Entity	*☐ Quarterly*
☐ Other Specify:	*X Annually*
	☐ Continuously and Ongoing
	☐ Other Specify:

Add another Performance measure (button to prompt another performance measure)

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 DIH conducts an annual review of the CTW program for each of the five Waiver years. Due to available resources, at a minimum one comprehensive review will be conducted during this five year cycle. The comprehensive review will include participant and provider interviews. The other annual reviews will be focused reviews. The criteria for the focused reviews will be determined from DSPD and DIH review findings as well as other issues that develop during the review year. The sample size for each review will be sufficient to provide a confidence level equal to 95% and a confidence interval equal to 5.

Additional Information on Claims/Participant Sampling:
Individuals who comprise the representative sample for the purposes of review have the entire support plan period analyzed as part of their review. This is completed in order to assure services meet amount/frequency/duration requirements as stated in the PCSP; that unauthorized billings may be monitored against the individual's budget; that approved waiver codes/rates were used; and that overpayments can be tracked to ensure FFP is correctly returned.

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.*

Recoupment of Funds:

- When payments are made for services not identified on the PCSP or payments made exceed~~exceeded~~ the amount on the annual budget: Recoupment of unauthorized payments are processed back from the provider. All Medicaid payment recoupments are processed in PRISM where the FMAP is returned back to Medicaid.~~The Medicaid State Agency will require a recoupment of unauthorized paid claims based upon the Federal Medical Assistance Percentage (FMAP).~~
- ~~When the amount of payments made exceed the amount identified on the annual budget: The Medicaid State Agency will require a recoupment of unauthorized paid claims based upon the Federal Medical Assistance Percentage (FMAP).~~
- When payments are made for services based on a coding error: The coding error will be corrected by withdrawing the submission of the claim and submitting the correct code for payment.

The recoupment of funds will proceed as follows:
1. OSR sends a recoupment letter to the provider regarding unauthorized billings or overpayments. DSPD Finance processes the recoupment from the provider and submits those in PRISM where the FMAP is returned back to Medicaid. ~~The State Medicaid Agency will complete a Recoupment of Funds Form that indicates the amount of the recoupment and send it to the Operating Agency.~~
2. For audits conducted outside the OSR, t~~T~~he Operating Agency will review the Recoupment of Funds Form and return the signed form to the State Medicaid Agency.
3. Upon receipt of the Recoupment of Funds Form, the State Medicaid Agency will submit the recoupment to Medicaid Operations.
4. Medicaid Operations will reprocess the PRISM claims to reflect the recoupment.
5. Overpayments are returned to the federal government within 60 days of discovery.

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)*
	X State Medicaid Agency	**☐ Weekly**
	X Operating Agency	**☐ Monthly**
	☐ Sub-State Entity	**☐ Quarterly**
	☐ Other Specify:	**☐ Annually**
		☐ Continuously and Ongoing
		X Other Specify:
		OA: At a minimum every two years. *SMA: At a minimum every five years.*

c. Timelines

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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.

X	**No**
◯	**Yes**

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

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APPENDIX I-2: Rates, Billing and Claims

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).

Rates in the waiver are equivalent to those paid for the same services defined in the Community Supports Waiver (UT.0158).

~~Family and Individual Training and Preparation (Tier II) is equal to the rate for 'Family and Individual Training and Preparation Services'~~

~~Family and Individual Training and Preparation (Tier I) is equal to the rate for 'Family Training and Preparation Services'~~

The services defined in this waiver that are not currently defined in the CSW are Professional Nursing Services and Center Based Employment (CBE). Those rates were constructed as follows:

Professional Nursing Services: Rate is the same as the Medicaid State Plan

#Center-Based Prevocational Services: Uses the current reimbursement methodology used for Day Support Services.

There are four principal methods used in setting the DHHS Maximum Allowable Rate level. Each method is designed to determine a fair market rate. Four different methodologies are in place to accommodate the different market factors that exist for different types of services. With all new services and any inflationary increases or decreases to existing service rates, the DIH~~SMA~~ reviews and approves all proposed rates prior to the rates being loaded into the PRISM~~MMIS~~. Payment rates may also be subject to changes mandated by the State Legislature.

Adjustments to the following processes may be deemed necessary on occasion to comply with funding requirements. Additionally, the process may be adjusted on occasion to account for the geographical location of service delivery, absentee factors, or division budget constraints, etc.

1. Existing Market Survey or Cost Survey of Current Providers.

This methodology surveys existing providers to determine their actual cost to render a service. This would include direct labor, supervision, administration, non-labor costs allocated to the purchased service and the basis of cost allocations. The surveys are designed to assure all providers are reporting costs in a standardized manner and within allowable costs parameters established by DHHS. Surveys are examined to determine if cost definitions, allocations and reporting are consistent among respondents and accurately include reasonable costs of business. The rate is set using a measure of central tendency such as median, mode or weighted average and adjusted if necessary to reflect prevailing market conditions. (For example, a large provider may distort data and smaller providers may have substantially different costs. Failure to adjust for market realities may result in lack of available providers if the rate is set too low, or unnecessarily paying too much if the rate is set too high.) During cost reporting, providers are required to

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separate revenues received from waiver payments versus room and board payments from participants. Providers are required to establish rental/lease/room and board agreements with participants in residential services. All costs associated with room and board are excluded from allowable costs in the State's review of rate adequacy.

2. Component Cost Analysis

The estimated cost of each of the various components of a service code (rent, treatment, administration, direct labor, non-labor costs allocated to the service, etc) are determined and added together to determine a provisional rate. This method is often used for a new or substantially modified service that does not currently exist in the marketplace. Provisional rates are designed to determine a fair market rate until historical data becomes available. At a later date when historical cost data does become available a market survey may be undertaken to confirm or adjust the rate. During cost reporting, providers are required to separate revenues received from waiver payments versus room and board payments from participants. Providers are required to establish rental/lease/room and board agreements with participants in residential services. All costs associated with room and board are excluded from allowable costs in the State's review of rate adequacy.

3. Comparative Analysis

This method may be used when a similar service exists. Adjustments are made to reflect any differences in the new service. Where possible and to provide consistency of payments in the provider community, rates are set to maintain common rates for common services purchased by various agencies. If a proposed service duplicates an existing service being used by another agency or program, the existing rate may be used to provide consistency of payments in the provider community, if the companion agency rate is considered to be in line with the market.

4. Community Price Survey

Where a broad-based market exists, service providers may be surveyed regarding market price for the service.

The State solicited public comment during the drafting of the waiver application. The State Medicaid Agency and the Division of Services for People with Disabilities (when it was not part of the SMA) completed the initial draft application in September 2019. The revised draft was submitted to a broad network of consumers, advocates, providers and Tribal Governments and the Medical Care Advisory Committee (MCAC). The entities were sent an electronic copy of the application and were asked to disseminate copies broadly. Entities had 30 days in which to submit comments or questions about all aspects of the CTW Application.

Payment rates are made available to participants so that they can make informed choices regarding their self administered services in two ways. 1. Support coordinators provide payment rate information to participants during their enrollment in self administered services. 2. Annually, DSPD sends an approved payment rate letter to the FMS providers. The FMS providers provide this information to all participants they serve.

The State does not adjust any services based on a standard acuity score. Services that have separate tiers based on assessed participant needs define the separation in their service definitions in Appendix C.

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The method used to establish the rate for each waiver service is provided below, along with information regarding how the service is reimbursed to the provider:

CSW Support Coordination - Comparative Analysis - Fixed/Predetermined
Day Supports - Comparative Analysis - Fixed/Predetermined
Homemaker - Comparative Analysis - Fixed/Predetermined
Personal Care - Comparative Analysis - Fixed/Predetermined
Residential Habilitation - Comparative Analysis - Varies by client based upon their acuity/supervision needs
Respite - Comparative Analysis - Fixed/Predetermined
Supported Employment- Comparative Analysis - Fixed/Predetermined
Family Training Services (Family and Individual Training/Prep) - Comparative Analysis - Fixed/Predetermined
Financial Management Services - Comparative Analysis - Fixed/Predetermined
Behavior Consultation I - Comparative Analysis - Fixed/Predetermined
Behavior Consultation II - Comparative Analysis - Fixed/Predetermined
Behavior Consultation Service III - Comparative Analysis - Fixed/Predetermined
Chore Services - Comparative Analysis - Fixed/Predetermined
Companion Services - Comparative Analysis - Fixed/Predetermined
Environmental Adaptations - Community Price Survey - Based on Episode
Extended Living Supports - Comparative Analysis - Fixed/Predetermined
Living Start-Up Costs - Comparative Analysis - Fixed/Predetermined
Massage Therapy - Comparative Analysis - Fixed/Predetermined
Personal Budget Assistance - Comparative Analysis - Fixed/Predetermined
Personal Emergency Response System - Existing Market Survey - Fixed/Predetermined
Professional Medication Monitoring - Comparative Analysis - Fixed/Predetermined
Service Animal - Community Price Survey - Based on Episode
Specialized Medical Equipment/Supplies/Assistive Technology - Purchase - Community Price Survey - Fixed/Predetermined
Specialized Medical Equipment/Supplies/Assistive Technology- Monthly Fee - Community Price Survey - Fixed/Predetermined
Supported Living - Comparative Analysis - Fixed/Predetermined
Transportation Services (non-medical) - Comparative Analysis - Fixed/Predetermined

The following rates described in Appendix J are average cost per unit:
Center-Based Prevocational Services, Supported Employment Individual/Self-Employment, Day Supports, Residential Habilitation, Environmental Adaptations - Home, Environmental Adaptations - Vehicle, Specialized Medical Equipment/Supplies/Assistive Technology—Monthly Fee, Specialized Medical, Equipment/Supplies/Assistive Technology—Purchase

The following rates are standard rates:
Homemaker, Personal Assistance, Respite – Routine, Waiver Support Coordination, Chore Services, Community Transition Services, Family and Individual Training and Preparation Service - Tier I, Family and Individual Training and Preparation Service - Tier II, Financial Management Services, Massage Therapy, Personal Budget Assistance, Personal Emergency Response System, Professional Medication Monitoring (RN/LPN), Professional Nursing Services (Tier 1/Tier 2), Respite Care – Intensive, Respite Care – Session, Respite – Routine Group, Supported Living, Transportation Services (non-medical), Extended Living Supports, Companion Services, Supported Employment Day, Behavior Consultation I, Behavior Consultation II, Behavior Consultation III

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The State pays individualized rates based on documented and assessed needs for the following services:
Center-Based Prevocational Services
Day Supports
Residential Habilitation
Supported Employment Individual/Self-Employment

These rates are negotiated with providers and are based on the assessed needs of the individual being served.

The State pays individual rates based on the cost of adaptations or items within the established MAR for the following services:
Environmental Adaptations - Home
Environmental Adaptations - Vehicle
Specialized Medical Equipment/Supplies/Assistive Technology—Monthly Fee
Specialized Medical Equipment/Supplies/Assistive Technology—Purchase

Adaptations or items must be the least costly alternative based on individualized documented and assessed needs, and supported by clinical recommendations as appropriate.

The State pays set rates based on acuity for the following services:
Professional Medication Monitoring- RN and LPN

The differentiation between these services is defined in Appendix C

Through March 2025, as part of its American Rescue Plan (ARP) Act spending plan, the State has incorporated a 5% increase into all rates with direct care service components. ARP eligibility is contingent on the provider's attestation that they will use the funds to support challenges with direct-care labor staffing resulting from the public health emergency. All services paid through the waiver are eligible for ARP supplemental funding provided an attestation has been completed.

b. Flow of Billings. Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the state's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:

For Providers who Voluntarily Reassign Payment to DHHS/DSPD:

Requests for payments from the contracted providers are submitted to the Dept of Health and Human Services/DSPD on form 520; payments are then made to the providers. Dept of Health and Human Services/DSPD submits billing claims to DI~~O~~H for reimbursement.

For participants self-directing their self-directed services, the participant submits their approved staff time sheet(s) to the FMS Agent. The FMS Agent pays the claim(s) and submits a bill to DHHS/DSPD on form 520. DHHS/DSPD pays the FMS Agent then submits billing claim to DI~~O~~H for reimbursement.

For providers who bill the PRISM ~~MMIS~~ directly:
DSPD~~Providers~~ submit billing prior authorization forms to DIH prior to the claim being submitted to PRISM~~the operating agency prior to submitting the claims to MMIS~~. The provider will submit

claims directly to PRISM. DHHS/DSPD will complete a post payment review of the submission to verify if it is consistent with the ~~The operating agency will review the billing prior authorization forms submitted by the provider and will authorize the provider to bill the MMIS as long as the claims submitted on the billing prior authorization form are consistent with the~~ service type, amount, frequency and duration as listed on the PCSP and budget.

• ~~If the services listed on the payment billing prior authorization form are not consistent with the PCSP and budget, the operating agency will submit a notice of approval to the provider authorizing them to bill the MMIS.~~

• If the services listed on the payment ~~billing prior authorization~~ form are not consistent with the PCSP or budget, DHHS/DSPD will recoup the funds. DHHS/DSPD will submit the denial notice to the provider that will include an explanation of the payment denial~~was delayed.billing for services will not be authorized by the operating agency. The operating agency will submit the denial notice to the provider that will include an explanation of why the prior authorization was denied.~~

~~Once the operating agency has approved the billing prior authorization forms, the provider will then submit claims directly thought the States' MMIS.~~

The waiver only pays for Non-Medical transportation and only when in accordance with the written plan of care. No waiver expenditures are paid for by DWS and they are not a waiver provider.

c. Certifying Public Expenditures *(select one)*:

X	**No. State or local government agencies do not certify expenditures for waiver services.**
◯	**Yes. State or local government agencies directly expend funds for part or all of the cost of waiver services and certify their state government expenditures (CPE) in lieu of billing that amount to Medicaid.** *Select at least one:*

☐	**Certified Public Expenditures (CPE) of State Public Agencies.** Specify: (a) the state government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). (*Indicate source of revenue for CPEs in Item I-4-a.*)
☐	**Certified Public Expenditures (CPE) of Local Government Agencies.** Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). (*Indicate source of revenue for CPEs in Item I-4-b.*)

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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:

1. A participant's Medicaid eligibility is determined by the Office of Disability Determination ~~Health and Eligibilit~~y within the Department of Workforce Services. The information is entered into the eligibility system which automates Medicaid eligibility decisions, benefits amounts, participants' notices and administrative reports. The eligibility system also interfaces with other governmental agencies such as, Social Security, Employment Security, and the Internal Revenue Service. The system is a Federally-Approved Management Information System (FAMIS). In Utah, the following programs are accessed through the eligibility system: Aid to Families with Dependent Children (AFDC), Medicaid, Food Stamps, and other state-administered programs. PRISM ~~The Medicaid Management Information System (MMIS)~~ accesses the eligibility system to ensure the participant is Medicaid eligible before payment of claims is made. Both CAPS (DHHS provider payment system) and PRISM~~MMIS~~ contain edits to help ensure that no payment is ever rendered to Medicaid ineligible recipients or providers. CAPS queries the eligibility system for each claim to determine Medicaid eligibility before that claim is submitted to PRISM~~MMIS~~ for reimbursement. Claims for which Medicaid eligibility is not verified are excluded from the batch-processed claims submitted by CAPS to PRISM~~MMIS~~ for FFP reimbursements. DHHS/DSPD providers are paid through CAPS, and only after Medicaid eligibility of both recipient and provider is verified through PRISM~~MMIS~~ is federal participation received by DHHS/DSPD.

2. Post-payment reviews are conducted by the Medicaid agency; reviews of a sample of individual written support plans and Medicaid claims histories to ensure: (1) all of the services required by the participant are identified in the support plan, (2) that the participant is receiving the services identified in the support plan, and (3) that Medicaid reimbursement is not claimed for waiver services which were not included in the support plan. The sample size for each review will be sufficient to provide a confidence level equal to 95% and a confidence interval equal to five.

3. The SMA will perform an annual post payment review of claims that are paid to providers through the CAPS. The review will verify that the rates paid to providers through the CAPS are equal to the rates paid to DSPD through the PRISM ~~MMIS~~.

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-3: Payment

a. Method of payments — PRISM~~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) 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.
X	**Payments for waiver services are not made through an approved PRISM~~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 PRISM~~MMIS~~; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:
	a) The Waiver services that are not paid through an approved PRISM~~MMIS~~ - ~~Payment for all Waiver services are made through an approved Medicaid Management Information System (MMIS) eventually, but f~~For providers who voluntarily reassign payment to ~~the Department of Health and Human Services (DHHS)~~DSPD, initial~~ly~~ payments for Waiver services are paid to providers through the Department of Health and Human Services (DHHS), Contract, Approval and Provider System (CAPS). (b) The process for making such payments and the entity that processes payments- Waiver service providers bill the DHHS/DSPD using an electronic 520 ~~a paper~~ claim form that is entered into the CAPS syst~~e~~m. The CAPS system has edits in place that will deny payment for reasons such as exceeding the maximum allowable number of approved units or maximum allowable rates, etc. Providers are paid~~reimbursed~~ by DHHS/DSPD with either a paper check or an electronic funds transfer as per the provider's preference. DHHS/DSPD then submits a file~~tape~~ of all claims paid through the CAPS to the DIH~~SMA~~. The claims are then loaded~~entered~~ into the PRISM~~MMIS~~ for payment. The DIH~~SMA~~ makes payment to DHHS/DSPD through an Internal Exchange Transaction~~Intergovernmental Transfer of Funds~~ (IET~~IGT~~). Each claim is individually identifiable at the level of the participant, provider, HCPCS and units of service paid. (c) How an audit trail is maintained for all state and federal funds expended outside the PRISM~~MMIS~~- The audit trail outside the PRISM~~MMIS~~ is maintained in CAPS. (d) The basis for the draw of federal funds and claiming of these expenditures on the CMS-64- As stated previously all Waiver service payments are eventually made through PRISM ~~an approved Medicaid Management Information System (MMIS)~~ and this is the basis for the draw of federal funds and claiming of these expenditures on the CMS-64. During contracting/enrollment with the OA, the provider is informed of the ability to bill Medicaid directly for services rendered, or to allow DHHS/DSPD to submit for reimbursement on their behalf by completing an optional 'voluntary reassignment of

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	payment' form. Information on billing is also found in the Medicaid provider agreement which is signed by the provider. CAPS along with supporting documentation and claim information processed through PRISMMMIS provide audit support. Plans of care including specifications of amount, frequency and duration of prescribed services are documented in USTEPS by case managers and result in payment authorizations in CAPS. Payment authorizations result in the generation of provider billings. Provider claims are accompanied by eligibility codes that detail whether services qualify for FFP. Claims for services rendered under Medicaid eligibility are then ported to PRISMMMIS where recipient and provider eligibility are verified and claims that are determined to be eligible for FFP result in reimbursement to DHHS/DSPD. Participant claim information is documented in PRISM MMIS. Utah DIOH/DSPD IET IGT Process 1. The Division of Integrated Healthcare (DIH) reimburses DSPD for all qualified payment reimbursements processed in PRISM. The payment reimbursement is done weekly through IET. 2.DIH The Division of Integrated Healthcare Department of Health (DOIH) reviews the quarterly seed calculation with DSPD. A reconciled amount is agreed for the quarterly seed.estimates the state seed amount for the quarter. 32. DIH The DOH sends the IETIGT request to the Division of Services for People with Disabilities (DSPD) Department of Health and Human Services (DHHS) for the review and approval. estimated amount. 43. DSPD DHHS reviewsprocesses the IET entry in FINET.IGT request. 54. DSPD DHHS approves the FINET transaction.request. 65. DSPD receives the funds for DIHDOH receives the funds before the start of the quarter. 6. At the end of the quarter, DIH DOH determines the actual seed amount based on the paid claims. 7. DIH The DOH sends the IGT request to the DSPD Department of Health and Human Services (DHHS) for the actual paid amount. 8. DSPD DHHS approves the IGT request and DIH DOH receives the funds. 9. DIOH refunds the estimated amount to DSPD DHHS via an IGT. Utah DSPD/UTA EFTIGT Process UTA is initially paid out of CAPS. DSPD sends a quarterly billing to UTA for the seed portion. UTA sends the payment to DSPD via Electronic Funds Transfer (EFT). Quarterly IGT's will occur prior to the start of the quarter. UTA will not receive payment for any services in that quarter until the quarterly IGT has been made to DSPD. This guarantees that the provider will not recycle the Federal share of the payment.. The seed portion of all UTA transactions is part of the IET quarterly seed entry for DIH.
◯	**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:

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b. Direct payment. In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (*select at least one*):

☐	**The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.**
X	**The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.**
X	**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:
	The DHHS/DSPD serves as the governmental entity that pays for Waiver claims for providers who voluntarily reassign payment to DHHS and DHHS will pay for all services provided by the Waiver when they are delivered by qualified providers according to the support plan. ~~The~~ DSPD obtains all of the claims for payment for services delivered directly from contract providers on the form 520. It reviews the claims for accuracy and all approved claims are paid directly to the providers by DSPD. The DSPD then submits billing claims to the D~~O~~IH for reimbursement. The DSPD has internal controls in place to assure providers paid through the CAPS system receive payment that is equal to the payment DSPD receives from DI~~O~~H including a comparison of DI~~O~~H's PRISM ~~MMIS~~ Reference File rates with DSPD's CAPS rates for the same service, as per the DI~~O~~H rate sheet provided each year. A comparison of PRISM~~MMIS~~ HCPCS code/rate information with corresponding CAPS service code/rate information is implemented and documented via screen prints on a copy of a rate chart spreadsheet. This is completed before the beginning of each fiscal year when rates are generally adjusted, but a periodic review of CAPS to PRISM~~MMIS~~ rates is completed throughout the year. Post rate adjustment billing detail is reviewed closely to ensure the agreed rates are correct on the claims submitted for reimbursement, as is the claims reimbursement detail. The DIH~~SMA~~ will perform an annual post payment review of claims that are paid to providers through the CAPS. The review will verify that the rates paid to providers through the CAPS are equal to the rates paid to DSPD through thePRISM ~~MMIS~~. During contracting/enrollment with DSPD, the provider is informed of the ability to bill Medicaid directly for services rendered, or to allow DHHS/DSPD to submit for reimbursement on their behalf by completing an optional 'voluntary reassignment of payment' form. Information on billing is also found in the Medicaid provider agreement which is signed by the provider
☐	**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.

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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:*

X	**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.

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.*
X	**Yes. State or local government providers receive payment for waiver services.** *Complete item I-3-e.* Specify the types of state or local government providers that receive payment for waiver services and the services that the state or local government providers furnish. *Complete item I-3-e.*
	STATE LEVEL SOURCE(S) OF THE NON-FEDERAL SHARE OF COMPUTABLE WAIVER COSTS a. The Department of Health and Human Service is the source of the non-federal share that is appropriated to a state agency. The underlying source of the non-federal share is state general funds. b. The mechanism that is used to transfer the funds to the Medicaid Agency is an Internal Exchange Transaction ~~Intergovernmental Transfer~~ (IET)~~(IGT)~~. ~~The IETIGT is made to the Medicaid Agency prior to any federal funds being drawn.~~ LOCAL GOVERNMENT OR OTHER SOURCE(S) OF THE NON-FEDERAL SHARE OF COMPUTABLE WAIVER COSTS a. The Utah Transit Authority (UTA), a Utah public transit district, is the local governmental source of the non-federal share of computable waiver costs. b. The source of the funding from UTA is local sales and use taxes. The funds are publicly approved sales tax revenues levied by the cities and counties within UTA's service district. The taxes are collected quarterly from businesses from the sale of retail goods.

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	The sales tax revenues are given to the transit authority for the operation of a local public transportation agency. c. The mechanism that is used to transfer funds from the UTA to the DHHS/DSPD~~Department of Health and Human Services~~ is via Electronic Funds Transfer (EFT) ~~is an IGT~~. I~~After receiving funds from the UTA, the Department of Health and Human Services will transfer the funds to the Medicaid Agency through an IGT. The reason the funds are transferred to the Department of Health and Human Services rather than to the Medicaid Agency directly is that, i~~In the event UTA chooses to discontinue providing the non-federal share of computable waiver costs, the Department of Health and Human Services would become responsible to provide the non-federal share. ~~The IGT is made to the Medicaid Agency prior to any federal funds being drawn.~~

e. Amount of Payment to State or Local Government Providers.

Specify whether any state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the state recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. *Select one*:

X	**The amount paid to state or local government providers is the same as the amount paid to private providers of the same service.**
◯	**The amount paid to state or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.**
◯	**The amount paid to state or local government providers differs from the amount paid to private providers of the same service. When a state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the state recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.** Describe the recoupment process:

f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. *Select one:*

X	**Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.**
◯	**Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.** Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the state.

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.**
X	**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.
	The Department of Health and Human Services is the governmental agency to which reassignment is made.

ii. Organized Health Care Delivery System. *Select one:*

X	**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:*

X	**The state does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.**
◯	**The state contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency.** Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and (d) how payments are made to the health plans.
◯	**This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid**

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	inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.
◯	**This waiver is a part of a concurrent §1115/§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 §1115 waiver specifies the types of health plans that are used and how payments to these plans are made.**

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APPENDIX I-4: Non-Federal Matching Funds

a. **State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the state source or sources of the non-federal share of computable waiver costs. *Select at least one:*

☐	**Appropriation of State Tax Revenues to the State Medicaid Agency**
X	**Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.** If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the state entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Internal Exchange TransactionIntergovernmental Transfer (ETIGT), 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:
	The Division of Services for People with Disabilities (DSPD) which resides within the Department of Health and Human Services receives the appropriated funds. DSPD transfers the funds to the State Medicaid Agency via an Internal Exchange TransactionIntergovernmental Transfer (IETGT). This prepayment transfer is based on estimates for the upcoming quarter and takes place approximately 15 days before each new quarter. At the end of each quarter, the State Medicaid Agency will perform a reconciliation of the actual state match obligation and the prepaid amount. State Tax Revenues (general funds) are appropriated directly to the Department of Health Human Services by the legislature. The Division of Services for People with Disabilities (DSPD) which resides within the Department of Health and Human Services receives the appropriated funds. DSPD transfers the funds to the State Medicaid Agency via an Internal Exchange TransactionIntergovernmental Transfer (IETGT) the actual seed amount at the end of every quarter. . This prepayment transfer is based on estimates for the upcoming quarter and takes place approximately 15 days before each new quarter. At the end of each quarter, the State Medicaid Agency will perform a reconciliation of the actual state match obligation and the prepaid amount.
☐	**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 Internal Exchange TransactionIntergovernmental Transfer (IETGT), including any matching arrangement, and/or, indicate if funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

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.

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X	**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:
	X	**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 Internal Exchange Transaction ~~Intergovernmental Transfer~~ (IET~~GT~~), 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:
		The source of the funding from UTA is local sales and use taxes. The funds are publicly approved sales tax revenues levied by the cities and counties within UTA's service district. The taxes are collected quarterly from businesses from the sale of retail goods. The sales tax revenues are given to the transit authority for the operation of a local public transportation agency.

c. **Information Concerning Certain Sources of Funds**. Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds . *Select one:*

X	**None of the specified sources of funds contribute to the non-federal share of computable waiver costs.**	
◯	**The following source(s) are used.** *Check each that applies.*	
	☐	**Health care-related taxes or fees**
	☐	**Provider-related donations**
	☐	**Federal funds**
	For each source of funds indicated above, describe the source of the funds in detail:	

APPENDIX I-5: Exclusion of Medicaid Payment for Room and Board

a. **Services Furnished in Residential Settings**. *Select one:*

◯	**No services under this waiver are furnished in residential settings other than the private residence of the individual.**
X	**As specified in Appendix C, the state furnishes waiver services in residential settings other than the personal home of the individual.**

b. **Method for Excluding the Cost of Room and Board Furnished in Residential Settings**. The following describes the methodology that the state uses to exclude Medicaid payment for room and board in residential settings:

Medicaid reimbursement rates paid to Residential Habilitation providers for habilitation services will be individualized based upon the assessed needs of the participant. The daily rate paid to the Residential Habilitation providers cover only the cost of the habilitation services. The daily Medicaid reimbursement excludes all room and board costs.

Participants are responsible to pay room and board directly to their landlord and purchase food from their personal income. Participants having insufficient personal income to cover their entire room and board costs may be assisted by a State funded program in which the Division of Services for People with Disabilities assists participants in paying these costs.

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APPENDIX I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver.
Select one:

X	**No. The state does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.**
◯	**Yes. Per 42 CFR §441.310(a)(2)(ii), the state will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The state describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.** The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

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APPENDIX I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing

a. Co-Payment Requirements. Specify whether the state imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. *Select one:*

X	**No. The state does not impose a co-payment or similar charge upon participants for waiver services.** (*Do not complete the remaining items; proceed to Item I-7-b*).
◯	**Yes. The state imposes a co-payment or similar charge upon participants for one or more waiver services.** (*Complete the remaining items*)

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*:

ii Participants Subject to Co-pay Charges for Waiver Services.

Specify the groups of waiver participants who are subject to charges for the waiver services specified in Item I-7-a-iii and the groups for whom such charges are excluded

iii. Amount of Co-Pay Charges for Waiver Services. The following table lists the waiver services defined in C-1/C-3 for which a charge is made, the amount of the charge, and the basis for determining the charge.

Waiver Service	Charge	
	Amount	**Basis**

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iv. Cumulative Maximum Charges.

Indicate whether there is a cumulative maximum amount for all co-payment charges to a waiver participant *(select one)*:

◯	**There is no cumulative maximum for all deductible, coinsurance or co-payment charges to a waiver participant.**
◯	**There is a cumulative maximum for all deductible, coinsurance or co-payment charges to a waiver participant.** Specify the cumulative maximum and the time period to which the maximum applies:

b. Other State Requirement for Cost Sharing. Specify whether the state imposes a premium, enrollment fee or similar cost sharing on waiver participants. *Select one:*

X	**No. The state does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
◯	**Yes**. **The state imposes a premium, enrollment fee or similar cost-sharing arrangement.** Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income (c) the groups of participants subject to cost-sharing and the groups who are excluded; and (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

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