

# Supplemental Assessment Information

## Overview

The Behavioral Health Division (referred to as the “Division” or BHD) is implementing a new supplemental assessment to the ICAP, as part of the system improvements in the new Comprehensive and Supports Waivers. Many states have implemented their own supplemental assessment to address the “outlier situations”, where the ICAP information is not enough. Some states develop their own “home-grown” assessment tool and others use another state’s tool that has been tested and validated.

To find the best fit for Wyoming, the Division evaluated the common reasons people have significant areas of need that require budget adjustments, which did not have sufficient information in the ICAP. Another instrument was needed to be able to fulfill the requirement from the Centers for Medicaid and Medicare Services (CMS) that the services received by a participant are based on assessed need.

## Frequently Asked Questions

*(press “control and click on question to see answer)*

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**Process.** Sections of the standardized instrument, the Supports Intensity Scale (SIS), will be used as a supplemental assessment to the ICAP in order to gather additional information on all waiver participants in the areas of protection and advocacy, medical and behavioral support. These topic areas are not covered well in the ICAP. This new information will be used in addition to the ICAP as budgets are determined for participants on the Comprehensive Waiver.

As a first line communicator with participants and families, case managers have been asked to determine who should be contacted for the supplemental SIS assessment interview. These sections are not as comprehensive as the whole SIS tool, therefore one respondent who knows the participant well is enough to give us information for the assessment. If an additional respondent is needed, the interviewer may contact the second person.

**Interviews by phone.** They are being done by phone instead of in-person due to the high number of assessments that the Division must complete before people receive a funding amount for the new waiver. The interviewers who do the ICAPs will do the supplemental assessment, so they will have a lot of information on the person from the ICAP. The new questions will cover the higher risk areas that often reflect higher service needs for the individual.

**Excel sheet to send as a respondent list.** Using the excel document sent out by the Division, the case manager will list all caseload participants as well as people on the wait list for whom you the provider does TCM. They will complete the information specified in the columns.

**Picking a respondent.** Case managers shall pick a contact person to be the respondent in the interview based on who knows that person best and is in frequent contact with the person to know his/her support needs. A tool is on the Division’s website to help a person choose the right respondent.

**Consent form.** The participant or guardian, if applicable, must sign a consent to have the supplemental assessment completed and approve the respondent chosen. This form should be uploaded to EMWS in the document library.

**Due Date.** *We have extended the due date for the respondent list and the consent forms to September 30, 2013.* WE KNOW THIS IS VERY SOON! We need to get started with the interviews as soon as possible, though. If you cannot meet this deadline, contact your PSS at the Division to work out an extension.

## Explaining the new supplemental assessment

The frequently asked questions in the next section should help clarify the process, purpose, and assessment itself.



# Frequently Asked Questions

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## **Why is the new assessment being done now? What is the hurry?**

A main focus of the new waivers is the development and implementation of a new Individual Budget Amount (IBA) methodology that emphasizes an equitable distribution of funding based on the assessed needs of each waiver participant. The new waivers begin February 1, 2014, so we want people to know their new budgets before they transition to the new waiver.

## **Why do we need a new assessment when we have the ICAP?**

The Division is conducting the assessment using sections of the SIS as a way to supplement the information we get from the ICAP so we can better understand a person's support needs in areas where the ICAP doesn't ask enough questions. Budgets in the new waiver shall be based upon the person's assessed needs as required in the legislation. We want case managers to get input from the participants and guardians on who should respond to these assessments.

The basis of the IBA will be determined using assessment information collected from the ICAP and the new supplemental assessment using the medical, behavioral, and protection and advocacy sections of the Supports Intensity Scale (SIS).

## **Some people did not know this was going to happen. When were we told this new assessment would happen?**

The Division told people in the community forums in the Spring 2013 that we would be completing a new assessment so we could revise budgets based on assessed needs. This action was required in legislation. We also posted our plans for changes to the waivers, and posted updates to our plans, on our project website and distributed information as decisions were made. We also rely on providers to talk with the people they serve about the changes we are planning. If people still have questions, please read the assessment brochure (attached and available on the DD Section homepage: <http://health.wyo.gov/ddd/index.html>), print or view items from our website or the SIS website, or contact us to have information sent.

## **What are the benefits of the SIS?**

The SIS focuses on the amount of support and assistance that a person needs to accomplish every day community living activities. It is a nationally recognized valid and reliable assessment tool developed by a respected independent organization, the American Association on Intellectual Disabilities (AAIDD). It leads to better person-centered planning to determine the goals and aspirations of the Participant not his/her limitations.

## **Why are we not doing the whole SIS as described by AAIDD?**

The Division is not administering the SIS, rather, we are implementing a supplemental assessment to the ICAP using sections of this instrument since it is a valid and reliable tool.

Sections 2 and 3, which are included in the supplemental assessment, are stand-alone subscales that do not contribute to the Support Needs Scale described above. Rather, these are supplemental scales that aid in developing individualized support plans (Section 2) or provide information that could indicate that "it is highly likely that the individual has greater support needs than others with a similar SIS Support Needs Scale" (Section 3A and 3B). Given this information, Sections 2 and 3 can be administered separately.

We have trained professionals at WIND administering the sections of the SIS, who will gather the supplemental information and the information will be helpful in determining budgets than using the ICAP alone.

## **Can the sections of the SIS be done on children?**

There is a beta version of the SIS being conducted on children. Section 2 on protection and advocacy will not be done on children since it does not have normative data. The medical and behavioral support needs in Section 3 are the same in the beta version of the child SIS being conducted. It asks questions that would be important to know whether a child was 17 or 12. Those sections gather information for exceptional support needs regardless of chronological age. A person who engages in stealing, wandering, and property destruction would have exceptional support needs whether they were 17 or 12. The same holds for the medical support needs. This information is not captured on the ICAP. This information is critical for proposing funding for extraordinary medical or behavioral needs.

### **Who will do the assessment?**

WIND at the University of Wyoming, our current ICAP contractor, will complete these assessments. The interviewers with WIND will use contacts provided by the case manager to conduct a phone interview and gather information for the assessment. BHD is working with case managers to gather contact information on all participants through a signed consent form, which they will upload to the Electronic Medicaid Waiver System (EMWS).

### **Should the participant or guardian give consent for an assessment?**

Yes, a participant or guardian must give consent to the assessment and to the name of a respondent by completing a revised ICAP/SIS checklist. The case manager will upload the consent to the Division prior to an interview taking place. For case managers who have submitted a respondent list to the Division, please follow up with a signed consent form and upload it to EMWS. Please try to get consent forms by September 30.

### **Who should be the respondent in an interview?**

The Division is asking case manager to work with the participant or guardian to provide the name and phone number of the person who knows the participant the best and works with him or her consistently to be named as the respondent for the interview.

### **How should a respondent be chosen?**

The Division researched answers to this question from other states using the instrument and came up with a checklist. This list is attached and posted to our website: <http://health.wyo.gov/ddd/cmforms.html>. Check out the information for helpful tips.

### **What if someone wants two (2) respondents for the supplemental assessment?**

Since we are only doing 3 smaller sections of the SIS, multiple respondents will not be needed in most cases. If a participant or guardian requests a second respondent, the case manager can tell us in their list and it can be listed on the consent form.

### **What if someone doesn't want to respond or participate?**

If a participant or guardian objects to the SIS, they do not have to participate. However, the Division would like notification in writing of the objection. In these cases, we will have to use information solely from the ICAP in determining the person's budget for the new waivers. Due to the short timeframe to implement the new waivers, we are not sending out a new consent form to comply with the assessment, but it can be refused. We encourage case managers to explain the assessment to people, help them visit our website or the SIS website for more information, or request information from the Division if there are additional questions.

### **What can you tell me about the interview and questions asked?**

The interviewer will ask questions about supports needed at home, in the community, with friends and at school or work, focusing on protection and advocacy skills and essential medical and behavioral supports. The interviewer will want to know the type of support needed (monitor, prompt or physical assist), how often support is needed (weekly, daily, hourly), and how much support is needed (total time per day). The interviewers at WIND are trained in interviewing for the SIS by the company that developed and copyrighted the SIS. All information that can be shared with the public without purchasing it or violating a copyright is on their website: <http://aaidd.org/sis#.UifDgcbkuIg> Please take a moment to explore the information on the site. The sections we are doing are available on the Division's website: <http://health.wyo.gov/ddd/index.html>

### **When will the respondent be contacted?**

Starting in October 2013 and through April 2014, interviewers with WIND will contact the person listed by the case manager as a respondent for the interview. Adult DD waiver participants will be completed first, then children, then participants on the ABI waiver, then people on the wait list. *(Due to the Adult DD waiver ending first (in June 2014) they have to transition to the new waivers first.)*

### **Who can be contacted with questions about this process?**

Case managers will be talking to participants and guardians in September. Respondents should give the interviewers at WIND time to contact them. If they haven't heard from WIND by January, the case manager may contact a BHD representative at 307-777-6494 to look into the timeframe for that person. It may be that the consent form is not uploaded or the person is in a lower priority timeframe.

