Good afternoon. My name is Nicole Gabel and I am the Case Management and Technical Assistance Coordinator for the Home and Community-Based Services Section of the Division of Healthcare Financing (Division). Today we will be discussing the forms that will be required as part of the new service plan development process for the Community Choices Waiver (CCW).
To explain the reference tools that are available to CCW case managers, and provide detailed instruction on the various forms that are required by the case manager and participants who direct their services.

The purpose of today’s training is to explain the reference tools that are available to CCW case managers, and provide detailed instruction on the various forms that are required by the case manager and participants who direct their services.
Training Agenda

➔ Review of case manager resource documents
➔ Review of case manager forms
➔ Review of forms and documents required by participants directing their services

By the end of this training, the following topics will have been introduced and explained.

● First we will discuss the resource documents that are available to case managers, and the purpose of each of these documents.
● We will review the forms that case managers are required to use as part of the new CCW service plan development process, and identify the forms that will be eliminated.
● Finally, we will review the forms and documents that participants directing their services are required to complete, and the case manager’s role in supporting the participant with completing these forms.
Choice

Freedom to make choices is a human right. Facilitating individual choice is a crucial part of being a Community Choices Waiver case manager.

Home and community-based waiver services are based on the tenet that people have the freedom to make choices that impact their lives. Whether the choices are related to big decisions such as who provides their services, where they live, or what they want for their future, or small decisions such as with whom they spend time, what and when they eat, and how they spend their day, having choice is paramount to human dignity. Facilitating individual choice is a crucial part of being a Community Choices Waiver case manager.

Recently the Division has made several changes to the development process of the Community Choices Waiver service plans. These changes were made in large part to promote person-centered planning, and to ensure that the rights of participants to make choices, and have their choices honored, is an integral part of the process.

Case managers play a crucial role in assuring that participants have choice. Assuring choice starts with offering the participant choice in services and providers, and continues with developing a service plan that clearly and specifically outlines what the participant wants and does not want in their life. Finally, the case manager assures choice by monitoring the participant’s services to ensure their choices are being respected during the delivery of waiver services.
The Division has developed several resources for case managers to use when conducting business and developing the service plan. These resources are intended to provide guidance so the case manager is able to locate answers to their questions without having to rely on a Benefits and Eligibility Specialist (BES). Case managers should refer to these resources before they contact a BES for assistance.
The Division has developed a Case Management Manual and several desk references.

The CCW Case Manager Manual provides a comprehensive look at the CCW program, offers information on other Medicaid and community resources, gives in-depth information on case management agency requirements and expectations, reviews the case manager’s role in developing a participant’s service plan, and explains other case management activities such as modifying a participant’s rights, reporting incidents, and detecting and reporting waste, fraud, and abuse.

The Case Manager Service Plan and Case Manager Assessment Desk References are designed to provide guidance on how to write the service plan and complete the required assessments, including things to consider and examples of documentation.

The EMWS CCW Service Plan Checklist and User Desk Guide is intended to help a case manager with the technical details of entering a CCW Service Plan into EMWS. The Desk Guide should be used in tandem with the CCW Case Management Manual to help a case manager navigate the service planning process. This Desk Guide references relevant Case Management Manual pages for each of the topics addressed in order to simplify that process.

Each of these resources can be found on the CCW Providers and Case Managers page of the Division website, under the CCW Case Manager Resources toggle.
The Division also has several training resources available. Trainings that are required for all case managers and case manager supervisors include:

- The rules governing home and community-based settings;
- More detailed information on participant assessments;
- Guidance on service plan development;
- General information on ageism, disability, and cultural awareness;
- Effective communication; and
- Identifying and reporting participant abuse, neglect, and exploitation.

At least one representative of each case management agency is also required to complete training on case management agency administration and responsibilities, and case manager oversight of the person-centered planning process.

Trainees must complete and retain a Provider Training Summary for each module they finish. Trainees will be required to demonstrate their participation in each module upon the request of the Division.
When the Division revised the CCW service plan development process, it aimed to reduce the number of forms that were required as part of the process, and streamline the needed forms to improve efficiency and ensure a higher level of understanding of the purpose of each form.
Several forms will be eliminated as a result of the new service plan process. Please be aware that these forms will still be required for service plans that were developed before the new process was implemented on February 1, 2021. For service plans that were developed after this date, the new forms will be required.

The Provider Duties Sheet, or PDS, will not be used as part of the new service plan format. This information is now built into EMWS as a provider referral, and the provider will respond and sign through the Provider Portal.

The Participant Choice of Service, Participant Rights and Responsibilities, and Client Choice of Provider, or CPVDR, forms will also sunset as part of the new service plan format. These forms will be replaced with the new Participant Agreement Form.
Active Case Management Forms

➔ FMS Change Notification Form (discussed in Participant Direction section)
➔ Change of Case Management Agency Form
➔ Participant Agreement Form

The Financial Management Services, or FMS Change Notification Form will still be required, at least for the time being. This form, and upcoming changes related to the form will be discussed in the Participant Direction section of the training.

The Change of Case Management Agency Form is currently used as part of the service plan development process, and will continue to be required if a participant chooses a different case management agency.

The last required form is the Participant Agreement Form.
The Participant Agreement Form is designed to document each participant’s agreement and understanding of the topic areas that are addressed on the Form.

OPEN FORM AND USE FOLLOWING SPEAKER NOTES

Participants should indicate:

● If their case manager has reviewed the Participant Handbook with them;
● If their case manager has explained their rights and responsibilities;
● If they had the freedom to choose between community and institutional services;
● If they had the freedom to choose their services and providers;
● If the process was person-centered;
● If their case manager explained their right to a fair hearing;
● If their case manager explained the role of the Long-Term Care Ombudsman and provided their contact information; and
● If their case manager provided their contact information and their supervisor’s contact information.

This form also requires the participant to indicate if their service plan includes modifications to their rights. If so, they must indicate that their case manager has explained the rights modifications, and that they, the participant, consent and agree to the implementation of these rights modifications.

The participant, legally authorized representative if applicable, case manager, and other plan of care team members must sign this form. The form must be uploaded using the Upload
Participant Agreement link in the Finalized Service Plan section of the Electronic Medicaid Waiver System (EMWS).

RETURN TO PRESENTATION
At this time, case managers must continue to use the Case Management Monthly Evaluation Form. This form is currently required, and is used for the case manager to document their monthly visit with the participant, during which time they assess the participant’s satisfaction with their services, note concerns with depression, and document any other concerns or needed changes. The Division is currently working with its programmers to absorb this form into EMWS. Once this occurs, the Division will provide training on this monthly process, and case managers will be required to document their services in EMWS.
The Division recently presented a training on the case manager’s role in participant-directed services. This training can be found on the HCBS Training page of the Division website, under the CCW Case Manager Support Call Trainings toggle. Although the training provides very specific guidance to the case manager on their role in participant-directed services, the next topic offers additional information specific to forms related to participant-directed services.
Again, in order to streamline the process, the Division is reducing the number of forms that are required as part of the participant-directed process. As with the case manager forms, please be aware that these PDO forms will still be required for service plans that were developed before the new process was implemented on February 1, 2021. For service plans that were developed after this date, the new forms will be required.

The following forms have been eliminated:

- The Participant Capability Form and Participant Agreement Form that was used prior to February 2021. These forms are being replaced by the new Participant Agreement Form that went into effect on February 1, 2021.
- The Participant Profile, which is being replaced by the Budget Calculator.
- The Participant Directed Services Back-Up Template, which is now addressed in the Participant-Direction Support Plan.
- The Request for Review of Authorized Representative Status and Authorized Representative Review, which are being replaced with the EOR Designation and Power of Attorney Form;
- Participant-Directed Direct Service Worker (DSW) Log, which is being replaced by EVV and will no longer be required as of April 1, 2021; and
- The Participant Responsibilities Checklist, which is now covered in the Employer Manual, the Participant Agreement, and the Employee File Checklist.
As discussed in prior trainings, the following documents will be used when a participant chooses to direct their own services. The case manager is responsible for ensuring the participant or employer of record (EOR) has access to the following documents:

- Participant Direction Employer Manual;
- Participant Direction Support Plan;
- EOR Designation and Power of Attorney Form; and
- Employee File Checklist.

These forms and documents are also available on the HCBS Document Library page of the Division website, under the CCW Participant/EOR Required Documents tab, in the event that the participant or EOR wants additional copies.

Additionally, the case manager is responsible for working with the participant or EOR to enter information into the Budget Calculator so the participant is able to determine their monthly budget. The Budget Calculator can be found on the same page, under the CCW Case Manager Forms tab.
After the participant has chosen to direct their services, or has assigned an EOR to support them in directing their services, the case manager must provide them with a copy of the Participant Direction Employer Manual (Employer Manual), and review it with them. The Employer Manual is a step-by-step guide that is designed to support the participant in understanding their responsibilities and the associated tasks they will be required to complete when directing their services. The Employer Manual provides detailed instructions on how to develop a Participant-Directed Support Plan, and gives specific guidance on recruiting, selecting, and hiring employees.
Before a participant can direct their services, they must create a plan and prepare for the responsibilities of being an employer. The Participant-Directed Support Plan template includes sections that address participant needs, employee tasks, recruiting and hiring of employees, and plans for staffing, spending, back-up or contingencies, and emergencies.

The case manager must provide the participant with the necessary template form, and support the participant as they develop their plan.

It is important to note that it is the participant’s responsibility to develop their support plan. While the case manager’s role is to provide support and guidance, established boundaries are needed to ensure that the case manager isn’t making decisions or acting on behalf of the participant for any employment-related responsibilities. If these boundaries are breached, the case manager may be at risk of being considered an employer and jointly liable for actions of the employer and employees.

**OPEN FORM AND USE FOLLOWING SPEAKER NOTES**

Each section of this form must be completed. The sections describe what is expected, and case managers should help the participants understand what is needed and answer any questions along the way.

- Case managers should help the participant establish the needs associated with their activities of daily living (ADLs).
- Recruiting and hiring is a task solely for the participant or the EOR. It is important for the participant to communicate with their employees any training requirements they
• will need to meet.
• Case managers should walk through the staffing plan with the participant so they understand what it entails. Again, completing this section is the responsibility of the participant.
• The spending plan in this form is designed so that the participant can understand how many hours each employee can work to stay within their allotted budget.
• A backup plan must also be established. Participants should feel comfortable in what to do if an employee calls in sick.
• An emergency plan should also be established by the participant so they can be prepared in case of any emergency. The case manager should help the participant to identify instances when an emergency can occur.
• It is important that the participant signs the plan, acknowledging that they have completed this form. The case manager must also sign the plan to demonstrate that they have reviewed the plan with the participant.

RETURN TO PRESENTATION
When completing the Designation and Power of Attorney Form, the participant must assign the agent, or EOR, to make decisions and act on their behalf concerning the employer duties and responsibilities under the participant-directed services option.

**OPEN FORM AND USE FOLLOWING SPEAKER NOTES**

Participants should select someone they trust to serve in their best interest, such as a family member, friend, or current caregiver. Unless the designation is revoked, the EOR will act on the participant’s behalf whether or not the participant is able to act for themselves. Unless otherwise specified or the designation is revoked, the EORs authority will generally continue until the participant dies, or until the agent resigns or is unable to act for the participant. The designation becomes effective immediately unless other instructions are specifically noted on the form.

The designation does not authorize the EOR to make other financial or healthcare decisions on the participant’s behalf. The EORs authority is limited to the items listed on the form; however, the participant can include other instructions in addition to what is listed.

Once the participant or their legally authorized representative signs the form, the EOR will be required to sign the form and acknowledge the scope and duties assigned to them.

**RETURN TO PRESENTATION**
The participant must complete an Employee File Checklist for each employee they hire. The case manager must ensure that the participant has access to this form.

The participant will be required to complete an Employee File Checklist for each employee they hire.

This form prompts the participant or EOR to collect and retain the following information for each of their employees:

- Personal information, such as the employee’s address and phone number;
- A signed job description, which demonstrates that the participant understands the job they have been hired to perform;
- The employee’s job application, and their resume if they submitted one;
- Job references;
- Documentation that demonstrates their employee’s eligibility;
- The results of their employee’s criminal history and background investigations;
- Documentation of the agreed upon employee wage;
- The employee’s training records, including any specific tasks the employee is required to perform;
- The employee’s emergency contact information;
- Performance evaluations and records of any disciplinary actions; and
- Documentation of the employee’s termination, should the need arise.

The case manager must ensure that the participant has access to this form, which can be found on the Division website.
In order for the participant to develop their plan and hire their employees, they must know their budget. The case manager needs to work with the participant to identify their areas of need, when they will need the support, and how much support will be required.

**OPEN FORM AND USE FOLLOWING SPEAKER NOTES**

The case manager must use the Monthly Budget Calculator to document the minutes per day and days per week needed for each activity. A short description of the activity to be performed should be included as well. The calculator will automatically compute the information and generate a monthly budget amount based on the information documented in the Calculator. The case manager must record the monthly budget in EMWS.
The FMS Change Notification form is currently used to notify ACES$ of changes to the service units, case manager or case management agency, or to put participant-directed services on hold. This form is still in place, but will be eliminated once the Provider Portal is fully functional and the case manager can notify ACES$ of changes through EMWS.
As we end this training, we’d like to review some of the key items that case managers need to remember:

1. Case managers must use the most current forms, which will be available on the HCBS Document Library page of the Division website. It is an essential part of a case manager’s job to know the purpose of each form so they can explain it to the participant.

2. The Division has developed several resources to support the case manager in doing their job. Case managers should become familiar with these resources and refer to them when they have questions. The Division wants case managers to do their research before coming to the Division with questions.

3. Case managers play a crucial role in assuring that participants have choice. Assuring choice starts with offering the participant choice in services and providers, and continues with using participant-centered planning to develop a service plan that clearly and specifically outlines what the participant wants and does not want in their life. Finally, the case manager assures choice by monitoring the participant’s services to ensure their choices are being respected during the delivery of waiver services.

4. Everything a case manager does should be done in a manner that ensures the participant understands the process and knows exactly what to expect from their providers and the services they receive.
Thank you for participating in the training on the forms that are required when developing a CCW service plan. If you have questions related to the information in this training, please contact your Division representative. Contact information can be found by clicking on the link provided in the slide.