

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

## PURPOSE OF THE HCBS WAIVER PROGRAM

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The Medicaid Home and Community-Based Services (HCBS) waiver program is authorized in section 1915(c) of the Social Security Act. The program permits a state to furnish an array of home and community-based services that assist Medicaid beneficiaries to live in the community and avoid institutionalization. The state has broad discretion to design its waiver program to address the needs of the waiver's target population. Waiver services complement and/or supplement the services that are available to participants through the Medicaid state plan and other federal, state and local public programs as well as the supports that families and communities provide.

The Centers for Medicare & Medicaid Services (CMS) recognizes that the design and operational features of a waiver program will vary depending on the specific needs of the target population, the resources available to the state, service delivery system structure, state goals and objectives, and other factors. A state has the latitude to design a waiver program that is cost-effective and employs a variety of service delivery approaches, including participant direction of services.

## Request for a Renewal to a §1915(c) Home and Community-Based Services Waiver

### 1. Major Changes

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Describe any significant changes to the approved waiver that are being made in this renewal application:

Changes proposed in this renewal application include:

Appendix A:

- A-3
  - Updated the language to mention DHCF collaboration with the Wyoming Department of Health, Aging Division.
  - Updates were made to the Qualified Provider Enrollment statement.
  - Updated statements regarding contracted entities DHCF uses for waiver administration and operation.
  - Added that the DHCF maintains a contract with a consulting agency for the purpose of conducting regular provider reimbursement rate studies and establishing the statewide rate methodology.
- A-6 - Updated the language and corrected grammatical errors.
- A-Quality Improvement - Updated performance measures to reflect current DHCF practices.

Appendix B:

- B-3-a - Updated the Total Unduplicated Number of Participants
- B-a-ii - Updated to reflect current DHCF practices.

Appendix C:

- C1/C3
  - Companion Services & Assistive Technology: Added to the waiver (C1/C3).
  - Adult Day Services:
    - Combined Health and Social models with an updated definition and included transportation in the rate for the service (C1/C3).
    - Created a daily unit in addition to the 15-minute unit (C1/C3).
    - Updated provider types to allow DD-qualified providers to provide the service on CCW (C1/C3).
  - Homemaker Services:
    - Updated provider types to allow DD-qualified providers to provide the service on CCW (C1/C3).
    - Updated provider types to allow for the participant-directed service option (C1/C3).
    - Updated service limitations for the participant-directed option and to ensure no duplication with Personal Support Services or Home Health Aide (C1/C3).
  - Respite Services:
    - Updated provider types to allow DD-qualified providers to provide the service on CCW (C1/C3).
    - Removed out-of-home option and facility provider types (C1/C3).
    - Added a daily unit (C1/3).
    - Updated limitations for the participant-directed service option and to clarify the 15-minute and daily unit (C1/C3).
    - Updated provider types to allow for the participant-directed service option (C1/C3).
  - Case Management:
    - Updated definition and limitations (C1/C3).
    - Added a 15-unit (C1/C3).
    - Removed service plan development/annual update unit (C1/C3).
    - Added the independent provider type (C1/C3).
  - Personal Support Services:
    - Updated service limitations for the participant-directed service option and to ensure there is no duplication with Homemaker (C1/C3).
  - Home Health Aide:
    - Updated service limitations to ensure no duplication with Homemaker (C1/C3).
  - Non-Medical Transportation:
    - Updated provider types to allow for the participant-directed service option (C1/C3).
    - Updated definition and limitations for participant-directed service option, the 15-minute, and public transit multipass options (C1/C3).
  - Assisted Living Facility Services:
    - Updated provider qualifications to state that providers must be able to support a participant based on their person-centered service plan (C1/C3).
    - Updated the definition to include transportation in the rate (C1/C3).
  - Home-Delivered Meals:
    - Updated language in the definition to describe mail-delivered and home-delivered meals (C1/C3).
  - Personal Emergency Response System:
    - Updated verification of provider qualifications to align with the current DHCF practices (C1/C3).
  - Participant-Directed Provider Specifications:

-Updated "Other Standard" to allow a participant-directed employer to hire a spouse if there is no evidence of financial decision-making authority (C1/C3).

- Updated the frequency of verification to align with current DHCF practices (C1/C3).
- C-2-e - Updated the list of services where relatives or spouses can be reimbursed.
- C-2-a - Updated the list of services requiring a criminal history and background investigation.
- C-2-b - Updated the list of services requiring a central registry check.
- C-QI-b - Removed performance measure C.b1 as metric is covered by A.a1.

#### Appendix D:

- D-1-d - Updated the language and corrected grammatical errors.
- D-2-a - Updated the statement on service plan monitoring visits.

#### Appendix E:

- E - Replaced "employer of record" with "participant-directed employer" throughout the appendix.
- E-1-a - Updated the language to clarify roles of the case manager and participant-directed employer
- E-1-g - Updated the language and added clarification to the case manager's responsibilities if a participant-directed employer is removed from their role.
- E-1-j - Update the language to clarify the role of Financial Management Services (FMS).
- E-1-m - Updated the language and corrected grammatical errors.
- E-1-n - Replaced "terminated" with "removed" and updated the language to reflect current DHCF practices.
- E-2-b - Updated the language to clarify roles of the case manager, participant, and participant-directed employer in budget oversight.

#### Appendix F:

- F-2-b - Updated the language to reflect the current DHCF practices.

#### Appendix G:

- G-1-b - Updated to include Wyoming statutes for abuse, neglect, and exploitation.
- G-2-ii - Updated the language to state that DHCF maintains a memorandum of understanding (MOU) with the Department of Family Services.

#### Appendix H:

- H-1-b - Updated to reflect the current DHCF practices.

#### Appendix I:

- I-2-a - Updated to include the rate methodology for Companion Services.

#### Appendix J:

- Updated the Demonstration of Cost-Neutrality table.
- Updated Table J-2-a: Unduplicated Participants.
- J-2-b - Updated the text to align with the new Average Length of Stay estimates.
- J-2-c - Updated the text to align with the new Factor D, D', G, and G' estimates.
- J-2-d-i - Updated the tables for Waiver Years 1-5 to align with the service component units, estimates, and component costs.

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

### 1. Request Information (1 of 3)

**A. The State of Wyoming** requests approval for a Medicaid home and community-based services (HCBS) waiver under the authority of section 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 Choices Waiver (CCW)

**C. Type of Request:** 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
- 5 years

**Original Base Waiver Number: WY.0236**

**Waiver Number: WY.0236.R07.00**

**Draft ID: WY.002.07.00**

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

Regular Waiver

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

07/01/26

**Approved Effective Date: 07/01/26**

**PRA Disclosure Statement**

The purpose of this application is for states to request a Medicaid Section 1915(c) home and community-based services (HCBS) waiver. Section 1915(c) of the Social Security Act authorizes the Secretary of Health and Human Services to waive certain specific Medicaid statutory requirements so that a state may voluntarily offer HCBS to state-specified target group(s) of Medicaid beneficiaries who need a level of institutional care that is provided under the Medicaid state plan. Under the Privacy Act of 1974 any personally identifying information obtained will be kept private to the extent of the law.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0449 (Expires: July 31, 2027). The time required to complete this information collection is estimated to average 163 hours per response for a new waiver application and 78 hours per response for a renewal application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

**1. Request Information (2 of 3)**

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**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 age 21 and under as provided in 42 CFR § 440.160**

**Nursing Facility**

Select applicable level of care

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

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

[Empty text box]

- Institution for Mental Disease for persons with mental illnesses aged 65 and older as provided in 42 CFR § 440.140**
- Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) (as defined in 42 CFR § 440.150)**  
If applicable, specify whether the state additionally limits the waiver to subcategories of the ICF/IID level of care:

[Empty text box]

**1. Request Information (3 of 3)**

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

Select one:

- Not applicable**
- Applicable**

Check the applicable authority or authorities:

- Services furnished under the provisions of section 1915(a)(1)(a) of the Act and described in Appendix I**
- Waiver(s) authorized under section 1915(b) of the Act.**

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

[Empty text box]

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

- section 1915(b)(1) (mandated enrollment to managed care)**
- section 1915(b)(2) (central broker)**
- section 1915(b)(3) (employ cost savings to furnish additional services)**
- section 1915(b)(4) (selective contracting/limit number of providers)**

- A program operated under section 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:

[Empty text box]

- A program authorized under section 1915(i) of the Act.**
- A program authorized under section 1915(j) of the Act.**
- A program authorized under section 1115 of the Act.**

*Specify the program:*

[Empty text box]

**H. Dual Eligibility for Medicaid and Medicare.**

Check if applicable:

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

## 2. Brief Waiver Description

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

The Community Choices Waiver (CCW) provides older adults and adults with disabilities a community-based alternative to nursing facility care. Participants are supported to achieve independence, maintain health and safety, and fully participate in community living through access to high quality, cost effective community-based services.

Program goals and objectives:

Individual Authority Over Services & Supports - Provide program participants with the opportunity and authority to exert control over his/her services, supports, and other life circumstances to the greatest extent possible.

Person-Centered Service Planning & Service Delivery - Acknowledge and promote the participant's strengths, goals, preferences, needs, and desires through a person-centered service planning process. Respect and support the participant's strengths, goals, preferences, needs, and desires through person-centered service delivery.

Promote Community Relationships - Support and encourage the participant's self-determined goals to be active members of their communities. Recognize that the nature and quality of community relationships are central to participant health and wellness.

Health & Safety - Effectively manage risk and balance the participant's ability to achieve independence and maintain health and safety.

Service Array - Offer services which are responsive to the needs of the target population and complement and/or supplement the services that are available through the Medicaid State plan and other federal, state, and local public programs as well as the supports that families and communities provide to individuals.

Responsible Use of Public Dollars - Demonstrate sound stewardship of limited public resources.

The CCW program is administered directly by the Wyoming Department of Health, Division of Healthcare Financing (the Division), which serves as the Medical Assistance Unit within the Single State Agency. The Division retains the ultimate administrative authority and responsibility for the operation of the waiver program through memoranda of understanding (MOUs) with other governmental agencies and contracts with vendors who conduct delegated administrative functions.

Services are delivered through a statewide network of providers and are reimbursed according to a standard fee schedule on a fee-for-service basis. The Division allows for the open, continuous enrollment of all willing and qualified service providers. The CCW program also offers the opportunity for participant-direction of select services.

## 3. Components of the Waiver Request

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

- A. Waiver Administration and Operation.** Appendix A specifies the administrative and operational structure of this waiver.
- B. Participant Access and Eligibility.** Appendix B specifies the target group(s) of individuals who are served in this waiver, the number of participants that the state expects to serve during each year that the waiver is in effect, applicable Medicaid eligibility and post-eligibility (if applicable) requirements, and procedures for the evaluation and reevaluation of level of care.
- C. Participant Services.** Appendix C specifies the home and community-based waiver services that are furnished through the waiver, including applicable limitations on such services.
- D. Participant-Centered Service Planning and Delivery.** Appendix D specifies the procedures and methods that the state uses to develop, implement and monitor the participant-centered service plan (of care).
- E. Participant-Direction of Services.** When the state provides for participant direction of services, Appendix E specifies the

participant direction opportunities that are offered in the waiver and the supports that are available to participants who direct their services. *(Select one):*

- Yes. This waiver provides participant direction opportunities. Appendix E is required.**
- No. This waiver does not provide participant direction opportunities. Appendix E is not required.**

**F. Participant Rights. Appendix F** specifies how the state informs participants of their Medicaid Fair Hearing rights and other procedures to address participant grievances and complaints.

**G. Participant Safeguards. Appendix G** describes the safeguards that the state has established to assure the health and welfare of waiver participants in specified areas.

**H. Quality Improvement Strategy. Appendix H** contains the quality improvement strategy for this waiver.

**I. Financial Accountability. Appendix I** describes the methods by which the state makes payments for waiver services, ensures the integrity of these payments, and complies with applicable federal requirements concerning payments and federal financial participation.

**J. Cost-Neutrality Demonstration. Appendix J** contains the state's demonstration that the waiver is cost-neutral.

#### 4. Waiver(s) Requested

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**A. Comparability.** The state requests a waiver of the requirements contained in section 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 section 1902(a)(10)(C)(i)(III) of the Act in order to use institutional income and resource rules for the medically needy *(select one):*

- Not Applicable**
- No**
- Yes**

**C. Statewide.** Indicate whether the state requests a waiver of the statewide requirements in section 1902(a)(1) of the Act *(select one):*

- No**
- Yes**

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

**Geographic Limitation.** A waiver of statewide 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 statewide 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

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

psychosocial rehabilitation services, and clinic services provided as home and community-based services to individuals with chronic mental illnesses if these individuals, in the absence of a waiver, would be placed in an IMD and are: (1) age 22 to 64; (2) age 65 and older and the state has not included the optional Medicaid benefit cited in 42 CFR § 440.140; or (3) age 21 and under and the state has not included the optional Medicaid benefit cited in 42 CFR § 440.160.

## 6. Additional Requirements

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*Note: Item 6-I must be completed.*

- A. Service Plan.** In accordance with 42 CFR § 441.301(b)(1)(i), a participant-centered service plan (of care) is developed for each participant employing the procedures specified in **Appendix D**. All waiver services are furnished pursuant to the service plan. The service plan describes: (a) the waiver services that are furnished to the participant, their projected frequency and the type of provider that furnishes each service and (b) the other services (regardless of funding source, including state plan services) and informal supports that complement waiver services in meeting the needs of the participant. The service plan is subject to the approval of the Medicaid agency. Federal financial participation (FFP) is not claimed for waiver services furnished prior to the development of the service plan or for services that are not included in the service plan.
- B. Inpatients.** In accordance with 42 CFR § 441.301(b)(1)(ii), waiver services are not furnished to individuals who are inpatients of a hospital, nursing facility or ICF/IID.
- C. Room and Board.** In accordance with 42 CFR § 441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the state that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.
- D. Access to Services.** The state does not limit or restrict participant access to waiver services except as provided in **Appendix C**.
- E. Free Choice of Provider.** In accordance with 42 CFR § 431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the state has received approval to limit the number of providers under the provisions of section 1915(b) or another provision of the Act.
- F. FFP Limitation.** In accordance with 42 CFR Part 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. 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 Part 431 Subpart E, to individuals: (a) who are not given the choice of home and community-based waiver services as an alternative to institutional level of care specified for this waiver; (b) who are denied the service(s) of their choice or the provider(s) of their choice; or (c) whose services are denied, suspended, reduced or terminated. **Appendix F** specifies the state's procedures to provide individuals the opportunity to request a Fair Hearing, including providing notice of action as required in 42 CFR § 431.210.
- H. Quality Improvement.** The state operates a formal, comprehensive system to ensure that the waiver meets the assurances and other requirements contained in this application. Through an ongoing process of discovery, remediation and improvement, the state assures the health and welfare of participants by monitoring: (a) level of care determinations; (b) individual plans and services delivery; (c) provider qualifications; (d) participant health and welfare; (e) financial oversight and (f) administrative oversight of the waiver. The state further assures that all problems identified through its discovery processes are addressed in an appropriate and timely manner, consistent with the severity and nature of the problem. During the period that the waiver is in effect, the state will implement the quality improvement strategy specified in **Appendix H**.
- I. Public Input.** Describe how the state secures public input into the development of the waiver:

The public comment period for the Community Choices Waiver renewal was held from November 14th - December 19th, 2025. Communications were sent to the Community Choice Waiver email lists on November 14th, November 28th, and December 12th, 2025. A public forum was conducted via phone conference on Thursday, December 4, 2025 from 1:00pm - 2:00pm. Case managers were strongly encouraged to ensure that participants and families are aware of the public comment period, and were provided information on where the documents and other relevant information could be found.

The Community Choice Waiver summary of the proposed changes and the full waiver application were published to the DHCF website at <https://health.wyo.gov/healthcarefin/hcbs/hcbs-public-notice/> on November 14th, 2025.

DHCF distributed a Notice of Intent to Renew to Tribal Governments on November 14th, 2025. The notice invited Tribal Governments to submit written comments and/or requests for additional consultation within 30 days of the notice. The Tribal Governments were invited and encouraged to submit public comments through the broader public comment period as well.

A public notification was published to the Casper Star Tribune on November 20, 2025 and November 29, 2025 and the Wyoming Tribune Eagle on December 4, 2025. The text of the public notice was available upon request.

DHCF received a total of 39 comments during the public comment period. The summary of comments and the Division's responses are below:

#### General

1. Clarification Needed: The proposed changes are too general, lack specific direction, and there are a lot of details that still need to be clarified.

Number of Comments Received: 1

Division Response: Clarification will be provided before the Waiver's effective date through sub-regulatory guidance documents.

#### C1/C3 - Case Management Monthly Home Visits

2. Participant Choice: Some participants prefer to meet in the community rather than in their home. Participants should be given a choice on how often they interact with their case manager and where the visit takes place.

Number of Comments Received: 6

Division Response: Choice is indeed the foundation of Home and Community-Based Services. Individuals can choose their provider and case manager; however, monthly home visits are intended to ensure individuals served are satisfied with their services, and to review the health and safety of the individual. As has been stated in the CCW Case Management Manual, this review of health and safety extends beyond briefly interacting with the individual. It can also include evaluating the physical condition of the home, if the individual can safely navigate the home, and other key observations. Case management is the only required Waiver service. If individuals do not wish to have case management, they should evaluate the need for continued Waiver services.

See Main B Optional for the additional comments.

**J. Notice to Tribal Governments.** The state assures that it has notified in writing all federally-recognized Tribal Governments that maintain a primary office and/or majority population within the state of the state's intent to submit a Medicaid waiver request or renewal request to CMS at least 60 days before the anticipated submission date is provided by Presidential Executive Order 13175 of November 6, 2000. Evidence of the applicable notice is available through the Medicaid Agency.

**K. Limited English Proficient Persons.** The state assures that it provides meaningful access to waiver services by Limited English Proficient persons in accordance with: (a) Presidential Executive Order 13166 of August 11, 2000 (65 FR 50121) and (b) Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003). **Appendix B** describes how the state assures meaningful access to waiver services by Limited English Proficient persons.

## 7. Contact Person(s)

**A.** The Medicaid agency representative with whom CMS should communicate regarding the waiver is:

**Last Name:**

**First Name:**

**Title:**

**Agency:**

**Address:**

**Address 2:**

**City:**

**State:** **Wyoming**

**Zip:**

**Phone:**  **Ext:**   **TTY**

**Fax:**

**E-mail:**

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

**Last Name:**

**First Name:**

**Title:**

**Agency:**

**Address:**

**Address 2:**

**City:**

**State:** **Wyoming**

**Zip:**

Phone:

Ext:

TTY

Fax:

E-mail:

### 8. Authorizing Signature

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

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

Signature:

State Medicaid Director or Designee

Submission Date:

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

Last Name:

First Name:

Title:

Agency:

Address:

Address 2:

City:

State:

Wyoming

Zip:

Phone:

(307) 777-7366

Ext:

TTY

Fax:

(307) 777-8685

E-mail:

**Attachments**

matthew.crandall2@wyo.gov

**Attachment #1: Transition Plan**

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

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

Specify the transition plan for the waiver:

There will not be an impact to future or current participants. No participants will be losing access to the waiver. The decrease in unduplicated participants is due to projections for the number of participants based on recent data. The previous waiver predicted a higher growth than what the state witnessed.

For Personal Support Services and Home Health Aide, the updated limitations were to clarify that there is no duplication of services with Homemaker Services. The State does not foresee any impact to providers. The State updated Non-Medical Transportation units to 15-minute units as opposed to the "one-way trip". The 15-minute unit limit of 4.5 hours is the time equivalent of 18 one-way trips that are present in the current waiver agreement. This is intended to make it easier to bill for the service and provide clarity to providers. The State believes this will have a positive impact on providers as it will make it easier for providers to bill for the service. The State added a 15-minute unit for Case Management to make it easier for waiver participants to change case managers mid-month. The 16 unit per month limit on the unit is to help guide providers. The State believes this will have a positive impact on providers and participants with no decrease in utilization or access.

In this waiver renewal, the State is requiring case managers to meet with participants in their homes at least once a month. During these home visits, case managers will be able to assess the health and welfare of participants and then assist with making any updates to the participant's person-centered service plan based on the participant's desires and needs. The new non-medical transportation limits are equivalent to limits in the currently approved waiver. The limits were converted to a new unit, but same limits.

The decrease of the unduplicated count of participants is due to natural attrition. The State is not limiting the number of participants who can receive services on the waiver. No current or future waiver participants will lose access to the waiver or waiver services.

If a participant is no longer eligible to participate in the Community Choices Waiver, the Division of Healthcare Financing (Division) will notify the participant in writing within fifteen (15) consecutive calendar days of the date the individual is determined ineligible. The notification informs the participant of their right to and the process for requesting a Fair Hearing.

### **Additional Needed Information (Optional)**

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Provide additional needed information for the waiver (optional):

The following are the additional public comments and DHCF responses.

3. Travel Distance and Cost: Some clients live long distances from their case manager, making frequent, in-person visits unfeasible. Traveling long distances each month will add to the case manager's expenses.

Number of Comments Received: 5

Division Response: The Division would like to note that the Case Management rate methodology includes a productivity adjustment that includes tasks such as driving to a participant's residence. The case manager must decide how far they are willing to travel to provide services for an individual prior to accepting that individual into services.

4. Virtual Visits: The Division should consider allowing virtual visits when the weather is poor, someone is ill, or if it is the participant's preference.

Number of Comments Received: 2

Division Response: The Division's intention in requiring the monthly home visit is to ensure the health and safety of CCW participants. This can be done more effectively during in-person visits rather than virtual visits. The in-person meeting can be performed any time within the month. The Division encourages planning ahead of time in case of inclement weather or illness.

5. Scheduling Challenges: Requiring the monthly home visit can be a barrier to services for participants who work or volunteer. Winter weather conditions are a concern for travel and could stop the home visit from happening. Monthly in-person visits would make rescheduling for travel issues, conflicting appointments, work, or illness challenging.

Number of Comments Received: 4

Division Response: The Division understands that participants may work or volunteer or that winter weather can cause travel disruptions. Planning home visits early in the month to ensure the home visit can be rescheduled can help alleviate these concerns. Case managers should contact the assigned Benefits and Eligibility Specialists to assist with possible solutions.

6. Unnecessary Monthly Visits: Monthly in-home visits are an unnecessary requirement for the waiver. There are currently enough checks and balances through the case management system and service utilization reports.

Number of Comments received: 2

Division Response: The Division appreciates this comment but disagrees. The Division has conducted a review of approximately 300 individuals receiving services on CCW; initial results indicate that the average time the case manager spent with these individuals is between 15 and 30 minutes per quarter. Additionally, the National Core Indicators In-Person Survey indicates that 43% of individuals served with unmet needs do not have conversations with case managers about their unmet needs. These statistics demonstrate a concerning trend and the need for increased contact and conversation between case managers and participants.

7. Caseload Concerns: Monthly visits along with other case manager responsibilities, like reviewing service utilization for each participant, would make managing all of the participants in a case manager's caseload difficult, especially when managing over 30 participants. Case Managers will need to reduce their caseloads.

Number of Comments Received: 5

Division Response: Case managers are responsible for determining and maintaining a caseload size that enables them to meet all Wyoming Medicaid rules and case management service expectations.

8. Participant Not Aware of Case Manager: Case management agencies should conduct their own client surveys and education to ensure clients know who their case manager is and their duties. While most case managers have positive relationships with participants, confusion can arise during NCI surveys, often because participants mistake the case manager role for others (like a nurse) or due to underlying memory/mental health issues. This lack of participant awareness regarding their case manager is primarily an individual case manager or case management agency concern.

Number of Comments Received: 5

Division Response: The NCI Surveys are conducted by trained professional surveyors. Each surveyor receives training to ensure the person providing the answers does so with the full understanding of what the question is asking and the response is valid. Agencies are free to conduct their own surveys as they wish. However, the Division will continue to rely on this data, as it comes directly from individuals served on the Waiver.

9. Implement Case Manager Survey: Case managers and case management agencies should also be required to complete surveys to ensure no bias. Participant only surveys can yield skewed results.

Number of Comments Received: 1

Division Response: Case managers and case management agencies are highly encouraged to participate in the appropriate avenues of feedback, including public feedback sessions for upcoming Waiver changes. Case managers and case management agencies are solicited to participate in the CCW Rate Study, which has historically low provider participation rates.

The Division utilizes data from a variety of different sources as appropriate. This includes but is not limited to NCI data, provider and case management system data, and public comment forums.

10. Length of Visit: The Division should clarify the amount of time a case manager is expected to spend with their participants during the monthly home visit.

Number of Comments Received: 1

Division Response: Clarification on the amount of time a case manager is expected to spend with their participants will be provided before the Waiver's effective date through sub-regulatory guidance documents.

11. Review CMS Requirements and Colorado's HCBS Requirements: The Division should review case management requirements of neighboring states whose case management requirements focus on services coordination as opposed to reviewing service utilization. The Division should review the requirements for Case Management Agencies that are mandated by CMS. Unnecessary requirements on case managers could lead to negative impacts on participants' ability to access services.

Number of Comments Received: 1

Division Response: The Division frequently reviews CMS requirements to ensure compliance with federal regulations. While there are similarities between HCBS programs in neighboring states, each is unique and faces different challenges. The Division's intent is to create a program that best meets the needs of participants in Wyoming.

#### C1/C3 - Personal Support Services

12. Household Tasks: To support an individual's independence in the community, household tasks should be included in Personal Support Services (PSS) and not only be allowed when they are incidental. Household tasks need to be completed in order to safely and hygienically complete Activities of Daily Living (ADLs). Not completing household tasks can become a liability for Home Health Agencies.

Number of Comments Received: 1

Division Response: The Division agrees that household tasks are important to support an individual's independence in the community. If a Home Health Agency employee notices an individual's need for assistance with household tasks, they should contact the case manager regarding adding Homemaker or other Waiver services to the plan of care. A Waiver service cannot duplicate other Waiver services. As there are other chore type services available on CCW, Personal Support Services cannot duplicate those services.

#### C1/C3 - Non-Medical Transportation

13. Limited Service: There are limited options for service providers in some parts of the state. Limiting transportation to non-medical purposes is a barrier as many participants need the service for medical appointments.

Number of Comments Received: 1

Division Response: Medical Transportation is covered through the Medicaid State Plan. The Waiver cannot duplicate State Plan services. The Division's intention is to expand access to transportation through this Waiver Renewal. The service will be available for participant-direction and the 15-minute unit is intended to be more straightforward for billing than the "one-way trip". The multi-pass option will cover all public transit.

#### C1/C3 - Current Service Issues

14. Difficult to Utilize Services: Some current services, like Transition Setup Expenses, are difficult and confusing to utilize.

Number of comments received: 1

Division Response: The Division consistently works to improve services on the CCW to make them more accessible to participants. The Division encourages case managers or providers to reach out to the HCBS section for assistance in understanding how to utilize or provide services.

15. Lack of CCW Providers: Expanding services will broaden participants' choice of providers, but there is still a lack of providers of CCW services for the services already on the waiver. There are currently services on the waiver that have no providers (environmental modifications).

Number of comments received: 1

Division Response: The Division understands the lack of providers for some services is frustrating. The Division continues to work to attract providers for such services like environmental modifications and streamline the Medicaid and provider enrollment process.

#### C1/C3 - DD Providers Certification for CCW

16. Process Unclear: The process for DD Waiver providers to become certified to provide CCW services is unclear. More clarification on this process is needed.

Number of Comments Received: 1

Division Response: Clarification will be provided before the Waiver's effective date through sub-regulatory guidance documents.

## I/J - CCW Service Rates

17. Rates: In order for the Division to be transparent, the full CCW Fee Schedule effective July 1, 2026 should be published, including the Case Management rates.

Number of Comment Received: 2

Division Response: The rate methodology for the CCW is outlined in Appendix I and the breakdown of the rates for each service are located in Appendix J of the Waiver application. The current fee schedule is published, and any changes will be published in a timely manner.

## I-2-d Continued

For agency providers using EVV claim information is submitted through the EVV solution aggregator in order for payment to be authorized. EVV pre-payment review occurs in the EVV aggregator solution prior to the claim submission.

Case managers must also conduct monthly service plan monitoring activities to ensure all services are delivered in accordance with the service plan. Monthly service plan monitoring activities are documented in the Division's case management information system. Service utilization data is available in the Division's case management information system as claims are submitted and reimbursed. Case managers monitor service utilization data and compare against the authorized amounts to identify any potential problems with service access or delivery and may follow up with service providers as necessary to support service plan implementation.

## 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:

Wyoming Department of Health, Division of Healthcare Financing

(Do not complete item A-2)

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

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

(Complete item A-2-a).

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

Specify the division/unit name:

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

## Appendix A: Waiver Administration and Operation

**2. Oversight of Performance.**

**a. Medicaid Director Oversight of Performance When the Waiver is Operated by another Division/Unit within**

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

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

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

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

## Appendix A: Waiver Administration and Operation

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**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.:*

The Wyoming Department of Health, Division of Healthcare Financing (the Division) delegates the following waiver operational and administrative functions to other public or private entities:

#### Level of Care Evaluation

The Division maintains a memorandum of understanding (MOU) with the Wyoming Department of Health, Public Health Division to conduct level of care evaluations. The Public Health Division oversees a statewide network of Public Health Nursing County Offices. Public Health Nurses from the county offices conduct the level of care evaluations and submit evaluation data through the Division's case management information system. The Division establishes the level of care evaluation criteria and retains the authority to make final level of care determinations.

#### Prior Authorization of Waiver Services

The Division contracts with a Quality Improvement Organization (QIO) to conduct a peer review of skilled nursing services before they are authorized or delivered. Peer reviews facilitate coordination and minimize the duplication of Medicaid benefits to ensure the most effective use of public resources. A registered nurse conducts a review of the skilled nursing care plan to ensure those services are authorized:

- Within the scope and limitations of the skilled nursing services benefit;
- According to the assessed needs of the waiver participant;
- Consistent with the practice of nursing as defined by the Wyoming Nurse Practice Act;
- In such a manner that does not duplicate other services provided under the waiver program or the Medicaid State Plan.

#### Benefits Management System (BMS)

The Division contracts with a private corporation to act as its Fiscal Agent and to maintain the Benefits Management System (BMS), process provider claims for reimbursement, maintain a call center, respond to provider questions and complaints, and produce reports.

#### Qualified Provider Enrollment

The Division contracts with a private corporation to act as its Medicaid Provider Enrollment Vendor and to maintain a Provider Enrollment system, Screening and Monitoring system, maintains a call center to respond to provider questions and complaints, and to assist with Medicaid Enrollment after the provider has been successfully approved by the Waiver Unit. The private Corporation produces reports and manages the provider Medicaid enrollment/application process. In the performance of its delegated provider enrollment functions, the contractor:

- Processes all provider enrollment applications through an online portal;
- Conducts an initial screening of provider qualifications;
- Searches the list of Excluded Individuals/Entities (LEIE) and Data Exchange (DEX). The searches occur during initial screening and are monitored monthly for active providers.
- Obtains confirmation from the Division that the applicant/provider meets all applicable provider qualifications as specified in the waiver application;
- Notifies applicant/provider of approval/disapproval;
- Enrolls and revalidates (every 5 years) approved providers in the qualified provider enrollment system, and;
- Maintains documentation of executed Medicaid Provider Agreements.

The Division collaborates with the Wyoming Department of Health, Aging Division to conduct initial and periodic reviews to verify that waiver service providers maintain compliance with applicable provider qualification standards. This includes onsite inspections and complaint investigations for providers of certain waiver services.

#### Financial Management Services

The Division contracts with a private corporation to act as its Financial Management Services (FMS) agency. The FMS Agency supports individuals who elect to receive services through the participant-directed model through performing financial administrative activities. The FMS verifies participant-directed caregiver qualifications on behalf of the Agency by reviewing and maintaining initial employment information, facilitating required background investigations, and requesting, disseminating, and filing employment related IRS information and documents. The FMS provides an electronic visit verification (EVV) solution for participant-directed employers and their individual

caregivers which is used to verify service delivery and visit information in compliance with the 21st Century Cures Act required elements.

**EVV**

The Division has a contract with a private corporation for the implementation and compliance of the 21st Century Cures Act EVV requirements. This contractor ensures all EVV-qualifying services are recorded through the proper system and ensures prebilling review to ensure the following elements are captured:

- Name of individual receiving the service;
- The name of the caregiver delivering the service;
- Date of the service delivery;
- Start and end time of the service delivery;
- Type of service performed; and
- Location of the service performed.

**Rate Methodology**

The Division maintains a contract with a consulting agency for the purpose of conducting regular provider reimbursement rate studies and establishing the statewide rate methodology.

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

**Appendix A: Waiver Administration and Operation**

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

- **Not applicable**
- **Applicable** - Local/regional non-state agencies perform waiver operational and administrative functions. Check each that applies:

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

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

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

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

**Appendix A: Waiver Administration and Operation**

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**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:

The Wyoming Department of Health, Division of Healthcare Financing retains ultimate administrative authority and is responsible for assessing the performance of other public and private entities in conducting delegated waiver operational and administrative functions.

## Appendix A: Waiver Administration and Operation

**6. Assessment Methods and Frequency.** Describe the methods that are used to assess the performance of contracted and/or local/regional non-state entities to ensure that they perform assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify how frequently the performance of contracted and/or local/regional non-state entities is assessed:

Contracts, memoranda of understanding (MOUs), letters of agreement (LOAs), interagency agreements (IAs), Medicaid provider agreements, or other forms of written agreement are used to document the assignment and delegation of any waiver operational or administrative function to another public or private entity in accordance with state procurement and contracting policies. Once executed, each agreement is assigned to a Division staff member with the primary responsibility for its maintenance and oversight.

Division staff ensure compliance with the provisions of the written agreement and assess the performance of delegated functions through ongoing and periodic monitoring activities such as the review and acceptance of reports/deliverables, on-site/desk audits, data analyses, regular status meetings, and documentation reviews as specified in the written agreement.

The performance of each public/private entity is assessed at least annually but may be assessed more frequently in accordance with state and federal regulatory standards or as specified in the written agreement.

## Appendix A: Waiver Administration and Operation

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

In accordance with 42 CFR § 431.10, when the Medicaid agency does not directly conduct a function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. *Note: More than one box may be checked per item. Ensure that Medicaid is checked when the Single State Medicaid Agency (1) conducts the function directly; (2) supervises the delegated function; and/or (3) establishes and/or approves policies related to the function.* Note: Medicaid eligibility determinations can only be performed by the State Medicaid Agency (SMA) or a government agency delegated by the SMA in accordance with 42 CFR § 431.10. Thus, eligibility determinations for the group described in 42 CFR § 435.217 (which includes a level-of-care evaluation, because meeting a 1915(c) level of care is a factor of determining Medicaid eligibility for the group) must comply with 42 CFR § 431.10. Non-governmental entities can support administrative functions of the eligibility determination process that do not require discretion including, for example, data entry functions, IT support, and implementation of a standardized level-of-care evaluation tool. States should ensure that any use of an evaluation tool by a non-governmental entity to evaluate/determine an individual's required level-of-care involves no discretion by the non-governmental entity and that the development of the requirements, rules, and policies operationalized by the tool are overseen by the state agency.

Function	Medicaid Agency	Contracted Entity
Participant waiver enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Waiver enrollment managed against approved limits	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Waiver expenditures managed against approved levels	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Level of care waiver eligibility evaluation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of Participant service plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Function	Medicaid Agency	Contracted Entity
Prior authorization of waiver services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Utilization management	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Qualified provider enrollment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Execution of Medicaid provider agreements	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Establishment of a statewide rate methodology	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Rules, policies, procedures and information development governing the waiver program	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance and quality improvement activities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

**Appendix A: Waiver Administration and Operation**

**Quality Improvement: Administrative Authority of the Single State Medicaid Agency**

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

**a. Methods for Discovery: Administrative Authority**

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

**i. Performance Measures**

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

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

*Where possible, include numerator/denominator.*

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

**Performance Measure:**

**A.a1 - Number and percent of contract deliverables met for all contracted functions of the Benefits Management System contract. Numerator:# of contract deliverables met  
Denominator:# of contract deliverables**

**Data Source (Select one):**

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

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

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> (check each that applies):	<b>Frequency of data aggregation and analysis</b> (check each that applies):

**Performance Measure:**

**A.a2 - Number and percent of contract deliverables met for all contracted functions of the Utilization Review and Quality Assurance contract. Numerator:# of contract deliverables met Denominator:# of contract deliverables**

**Data Source** (Select one):

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

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

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**A.a3 - Number and percent of contract deliverables met for all contracted functions of the Financial Management Services contract. Numerator:# of contract deliverables met  
Denominator:# of contract deliverables**

**Data Source (Select one):**

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and	<input type="checkbox"/> Other

	<b>Ongoing</b>	Specify:  <input style="width: 100px; height: 20px;" type="text"/>
	<input type="checkbox"/> <b>Other</b> Specify:  <input style="width: 100px; height: 20px;" type="text"/>	

**Data Aggregation and Analysis:**

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

**Performance Measure:**

**A.a4 - Number and percent of contract deliverables met for all contracted functions of the Level of Care Evaluation contract. Numerator:# of contract deliverables met  
Denominator:# of contract deliverables**

**Data Source (Select one):**

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

Responsible Party for data collection/generation( <i>check each that applies</i> ):	Frequency of data collection/generation( <i>check each that applies</i> ):	Sampling Approach( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100%</b>

		Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =  <input type="text"/>
<input type="checkbox"/> Other Specify:  <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:  <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:  <input type="text"/>
	<input type="checkbox"/> Other Specify:  <input type="text"/>	

**Data Aggregation and Analysis:**

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

**Performance Measure:**

**A.a5- Number and percent of contract deliverables met for all contracted functions of the Electronic Visit Verification contract. Numerator:# of contract deliverables met  
Denominator:# of contract deliverables**

**Data Source** (Select one):

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

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

**Data Aggregation and Analysis:**

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

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**A.a6 - Number and percent of contract deliverables met for all contracted functions of the Establishment of Statewide Rate Methodology contract. Numerator:# of contract deliverables met Denominator:# of contract deliverables**

**Data Source (Select one):**

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	
--	---	--

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis ( <i>check each that applies</i> ):	Frequency of data aggregation and analysis( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

**Performance Measure:**

**A.a7 - Number and percent of contract deliverables met for all contracted functions of the Enrollment of Qualified Providers contract. Numerator:# of contract deliverables met  
Denominator:# of contract deliverables**

**Data Source (Select one):**

**Reports to State Medicaid Agency on delegated Administrative functions**

If 'Other' is selected, specify:

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

<input type="checkbox"/> <b>Other</b> Specify:  <input type="text"/>	<input checked="" type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group:  <input type="text"/>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify:  <input type="text"/>
	<input type="checkbox"/> <b>Other</b> Specify:  <input type="text"/>	

**Data Aggregation and Analysis:**

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

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

**b. Methods for Remediation/Fixing Individual Problems**

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

Individual deficiencies identified through the Division's regular monitoring activities or through the waiver performance measures are remediated by Division staff through the provision of technical assistance, the imposition of a corrective action or sanction, and/or the enforcement of contract service level agreements (SLAs).

In accordance with CMS guidance issued March 12, 2014, any performance measure with less than an 86% success rate warrants further analysis to determine the cause. The Division conducts a root cause analysis to identify contributing factors and determine underlying causes of deficiency for any measure with less than an 86% success rate. Based upon the findings of the root cause analysis, the Division may initiate a Quality Improvement Project (QIP). The QIP includes, at minimum:

- A description of remedial actions to be taken (e.g. training, revised policies/procedures, additional staff, different staffing patterns, provider/vendor corrective action);
- A timeline of remedial actions to be taken;
- The individuals responsible for effectuating remedial actions; and,
- The frequency with which performance/compliance is measured.

The HCBS Quality Improvement Committee assures accountability to the Division's stakeholders and provides oversight of quality improvement activities, including regular monitoring of QIP effectiveness.

**ii. Remediation Data Aggregation**

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

<b>Responsible Party</b> (check each that applies):	<b>Frequency of data aggregation and analysis</b> (check each that applies):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**c. Timelines**

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

- No**
- Yes**

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

**Appendix B: Participant Access and Eligibility**

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

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

Target Group	Included	Target Sub Group	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
<input checked="" type="checkbox"/> <b>Aged or Disabled, or Both - General</b>					
	<input checked="" type="checkbox"/>	Aged	65		<input checked="" type="checkbox"/>
	<input type="checkbox"/>	Disabled (Physical)			
	<input checked="" type="checkbox"/>	Disabled (Other)	19	64	
<input type="checkbox"/> <b>Aged or Disabled, or Both - Specific Recognized Subgroups</b>					
	<input type="checkbox"/>	Brain Injury			<input type="checkbox"/>
	<input type="checkbox"/>	HIV/AIDS			<input type="checkbox"/>
	<input type="checkbox"/>	Medically Fragile			<input type="checkbox"/>
	<input type="checkbox"/>	Technology Dependent			<input type="checkbox"/>
<input type="checkbox"/> <b>Intellectual Disability or Developmental Disability, or Both</b>					
	<input type="checkbox"/>	Autism			<input type="checkbox"/>
	<input type="checkbox"/>	Developmental Disability			<input type="checkbox"/>
	<input type="checkbox"/>	Intellectual Disability			<input type="checkbox"/>
<input type="checkbox"/> <b>Mental Illness</b>					
	<input type="checkbox"/>	Mental Illness			<input type="checkbox"/>
	<input type="checkbox"/>	Serious Emotional Disturbance			

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

Disability is demonstrated through a disability determination by the Social Security Administration (SSA) or by the Department or its agent using SSA determination criteria.

**c. Transition of Individuals Affected by Maximum Age Limitation.** When there is a maximum age limit that applies to individuals who may be served in the waiver, describe the transition planning procedures that are undertaken on behalf of participants affected by the age limit (*select one*):

- **Not applicable. There is no maximum age limit**
- **The following transition planning procedures are employed for participants who will reach the waiver's maximum age limit.**

*Specify:*

Individuals served by the waiver under the disability target subgroup transition without interruption to the aged target subgroup upon their 65th birthday.

## Appendix B: Participant Access and Eligibility

### B-2: Individual Cost Limit (1 of 2)

**a. Individual Cost Limit.** The following individual cost limit applies when determining whether to deny home and community-based services or entrance to the waiver to an otherwise eligible individual (*select one*). Please note that a state may have only ONE individual cost limit for the purposes of determining eligibility for the waiver:

- **No Cost Limit.** The state does not apply an individual cost limit. *Do not complete Item B-2-b or item B-2-c.*
- **Cost Limit in Excess of Institutional Costs.** The state refuses entrance to the waiver to any otherwise eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed the cost of a level of care specified for the waiver up to an amount specified by the state. *Complete Items B-2-b and B-2-c.*

The limit specified by the state is (*select one*)

- **A level higher than 100% of the institutional average.**

Specify the percentage:

- **Other**

*Specify:*

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

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

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

- **The following dollar amount:**

Specify dollar amount:

The dollar amount (*select one*)

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

Specify the formula:

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

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

Specify percent:

- Other:

Specify:

## Appendix B: Participant Access and Eligibility

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

Answers provided in Appendix B-2-a indicate that you do not need to complete this section.

**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:

## Appendix B: Participant Access and Eligibility

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

**a. Unduplicated Number of Participants.** The following table specifies the maximum number of unduplicated participants

who are served in each year that the waiver is in effect. The state will submit a waiver amendment to CMS to modify the number of participants specified for any year(s), including when a modification is necessary due to legislative appropriation or another reason. The number of unduplicated participants specified in this table is basis for the cost-neutrality calculations in Appendix J:

Table: B-3-a

Waiver Year	Unduplicated Number of Participants
Year 1	2891
Year 2	2894
Year 3	2897
Year 4	2900
Year 5	2903

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

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

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

Table: B-3-b

Waiver Year	Maximum Number of Participants Served At Any Point During the Year
Year 1	
Year 2	
Year 3	
Year 4	
Year 5	

**Appendix B: Participant Access and Eligibility**

**B-3: Number of Individuals Served (2 of 4)**

c. **Reserved Waiver Capacity.** The state may reserve a portion of the participant capacity of the waiver for specified purposes (e.g., provide for the community transition of institutionalized persons or furnish waiver services to individuals experiencing a crisis) subject to CMS review and approval. The state (*select one*):

- Not applicable. The state does not reserve capacity.
- The state reserves capacity for the following purpose(s).

**Appendix B: Participant Access and Eligibility**

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

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

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

**e. Allocation of Waiver Capacity.**

*Select one:*

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

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

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

Participants are enrolled chronologically based on the date of eligibility determination.

## Appendix B: Participant Access and Eligibility

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

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

## Appendix B: Participant Access and Eligibility

### B-4: Eligibility Groups Served in the Waiver

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

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

**2. Miller Trust State.**

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

- No
- Yes

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

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

Parents and Other Caretaker Relatives (42 CFR § 435.110)

Pregnant Women (42 CFR § 435.116)

- Infants and Children under Age 19 (42 CFR § 435.118)
- SSI recipients
- Aged, blind or disabled in 209(b) states who are eligible under 42 CFR § 435.121
- Optional state supplement recipients
- Optional categorically needy aged and/or disabled individuals who have income at:

Select one:

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

Specify percentage:

- Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in section 1902(a)(10)(A)(ii)(XIII) of the Act)
- Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in section 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 section 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 section 1902(e)(3) of the Act)
- Medically needy in 209(b) States (42 CFR § 435.330)
- Medically needy in 1634 States and SSI Criteria States (42 CFR § 435.320, § 435.322 and § 435.324)
- Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the state plan that may receive services under this waiver)

Specify:

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

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

Select one and complete Appendix B-5.

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

Check each that applies:

- A special income level equal to:

Select one:

- 300% of the SSI Federal Benefit Rate (FBR)
- A percentage of FBR, which is lower than 300% (42 CFR § 435.236)

Specify percentage:

- A dollar amount which is lower than 300%.

Specify dollar amount:

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

Specify percentage amount:

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

Specify:

## Appendix B: Participant Access and Eligibility

### B-5: Post-Eligibility Treatment of Income (1 of 7)

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

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

*Note: For the period beginning January 1, 2014 and extending through September 30, 2027 (or other date as required by law), 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.*

- Spousal impoverishment rules under section 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 section 1924 of the Act.**

*Complete Items B-5-e (if the selection for B-4-a-i is SSI State or section 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 period after September 30, 2027 (or other date as required by law).*

*Note: The following selections apply for the time period after September 30, 2027 (or other date as required by law) (select one).*

- Spousal impoverishment rules under section 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):

- Use spousal post-eligibility rules under section 1924 of the Act.**  
(Complete Item B-5-b (SSI State) and Item B-5-d)

- Use regular post-eligibility rules under 42 CFR § 435.726 (Section 1634 State/SSI Criteria State) or under § 435.735 (209b State)  
(Complete Item B-5-b (SSI State). Do not complete Item B-5-d)
- Spousal impoverishment rules under section 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-b (SSI State). Do not complete Item B-5-d)

**Appendix B: Participant Access and Eligibility**

**B-5: Post-Eligibility Treatment of Income (2 of 7)**

Note: The following selections apply for the time period after September 30, 2027 (or other date as required by law).

**b. Regular Post-Eligibility Treatment of Income: Section 1634 State and SSI Criteria State after September 30, 2027 (or other date as required by law).**

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 section 1924 of the Act. Describe the circumstances under which this allowance is provided:

Specify:

**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:

## Appendix B: Participant Access and Eligibility

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### B-5: Post-Eligibility Treatment of Income (3 of 7)

*Note: The following selections apply for the time period after September 30, 2027 (or other date as required by law).*

- c. Regular Post-Eligibility Treatment of Income: 209(b) State or after September 30, 2027 (or other date as required by law).**

---

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

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## Appendix B: Participant Access and Eligibility

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### B-5: Post-Eligibility Treatment of Income (4 of 7)

*Note: The following selections apply for the time period after September 30, 2027 (or other date as required by law).*

- d. Post-Eligibility Treatment of Income Using Spousal Impoverishment Rules after September 30, 2027 (or other date as required by law)**

The state uses the post-eligibility rules of section 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 section 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
- A percentage of the Federal poverty level

Specify percentage:

- 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 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 or 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 selected.*
- The state does not establish reasonable limits.

- The state uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.

## Appendix B: Participant Access and Eligibility

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

*Note: The following selections apply for the period beginning January 1, 2014 and extending through September 30, 2027 (or other date as required by law).*

- e. Regular Post-Eligibility Treatment of Income: Section 1634 State or SSI Criteria State - January 1, 2014 through September 30, 2027 (or other date as required by law).**

---

**Answers provided in Appendix B-5-a indicate the selections in B-5-b also apply to B-5-e.**

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## Appendix B: Participant Access and Eligibility

### B-5: Post-Eligibility Treatment of Income (6 of 7)

*Note: The following selections apply for the period beginning January 1, 2014 and extending through September 30, 2027 (or other date as required by law).*

- f. Regular Post-Eligibility Treatment of Income: 209(b) State - January 1, 2014 through September 30, 2027 (or other date as required by law).**

---

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

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## Appendix B: Participant Access and Eligibility

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

*Note: The following selections apply for the period beginning January 1, 2014 and extending through September 30, 2027 (or other date as required by law).*

- g. Post-Eligibility Treatment of Income Using Spousal Impoverishment Rules - January 1, 2014 through September 30, 2027 (or other date as required by law).**

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

---

**Answers provided in Appendix B-5-a indicate the selections in B-5-d also apply to B-5-g.**

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## Appendix B: Participant Access and Eligibility

### B-6: Evaluation/Reevaluation of Level of Care

*As specified in 42 CFR § 441.302(c), the state provides for an evaluation (and periodic reevaluations) of the need for the level(s) of care specified for this waiver, when there is a reasonable indication that an individual may need such services in the near future (one month or less), but for the availability of home and community-based waiver services.*

- a. Reasonable Indication of Need for Services.** In order for an individual to be determined to need waiver services, an individual must require: (a) the provision of at least one waiver service, as documented in the service plan, and (b) the provision of waiver services at least monthly or, if the need for services is less than monthly, the participant requires regular monthly monitoring which must be documented in the service plan. Specify the state's policies concerning the reasonable indication of the need for services:

- i. Minimum number of services.**

The minimum number of waiver services (one or more) that an individual must require in order to be determined to need waiver services is:

ii. **Frequency of services.** The state requires (select one):

- The provision of waiver services at least monthly**
- Monthly monitoring of the individual when services are furnished on a less than monthly basis**

*If the state also requires a minimum frequency for the provision of waiver services other than monthly (e.g., quarterly), specify the frequency:*

b. **Responsibility for Performing Evaluations and Reevaluations.** Level of care evaluations and reevaluations are performed (*select one*):

- Directly by the Medicaid agency**
- By the operating agency specified in Appendix A**
- By an entity under contract with the Medicaid agency.**

*Specify the entity:*

The Wyoming Department of Health, Public Health Division

- 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:

A registered nurse licensed to practice in the State of Wyoming and qualified by the Wyoming Department of Health, or its agent, as having successfully completed all requisite education and training.

d. **Level of Care Criteria.** Fully specify the level of care criteria that are used to evaluate and reevaluate whether an individual needs services through the waiver and that serve as the basis of the state's level of care instrument/tool. Specify the level of care instrument/tool that is employed. State laws, regulations, and policies concerning level of care criteria and the level of care instrument/tool are available to CMS upon request through the Medicaid agency or the operating agency (if applicable), including the instrument/tool utilized.

The LT101 Level of Care Assessment instrument was developed by the Division to establish standardized methods for measuring the applicant/participant's level of functional impairment and to ensure statewide consistency in the level of care evaluation process. The information obtained using the LT101 Level of Care Assessment instrument is used in the Division's determination of whether an applicant/participant requires, or continues to require, the services or level of care typically provided in a nursing facility. The Division has established a minimum total score necessary to demonstrate the applicant/participant's need for the nursing facility level of care, and this determination is used in the consideration of eligibility for certain Wyoming Medicaid long-term care programs and services.

The LT101 Level of Care Assessment instrument is designed to evaluate an applicant/participant's current functional capacity across 13 domains and measure the "burden of care," or how much assistance the applicant/participant needs in performing Activities of Daily Living (ADLs), Instrumental Activities of Daily Living (IADLs), and social and cognitive activities. The 13 domains included in the assessment are:

#### ADLs

- Eating
- Bathing
- Grooming
- Dressing
- Toileting
- Functional Mobility

#### IADLs

- Meal Preparation
- Medication Management

#### Social and Cognitive Activities

- Social Interaction
- Comprehension
- Expression
- Problem Solving
- Memory

The applicant/participant's level of assistance needed is scored using the following zero to four scale:

0 = Independent: The applicant/participant is independent in completing activity safely without modification, assistive devices, or aids.

1 = Modified Independent: The applicant/participant is able to complete the activity independently with the use of adaptive equipment or light cueing.

2 = Supervision/Setup: The applicant/participant requires another person to provide routine setup assistance in preparation for the activity or

requires the presence of another person throughout the activity to provide supervision for safety, cueing, or other stand-by assistance.

3 = Moderate Assistance: The applicant/participant requires the presence of another person throughout the activity to provide hands-on assistance.

4 = Dependent: The applicant/participant is dependent on another person to complete the activity and can contribute little or no effort on his or her own.

In scoring the level of assistance needed, a variety of data sources are considered (e.g. direct observations, individual self-reports, caregiver reports, case manager/service provider reports, and medical chart reviews). The evaluator uses professional and clinical judgement in assessing the level of assistance needed for each domain. The evaluator summarizes the scoring rationale and documents information gathered in support of that assessment in the Division's case management information system.

**e. Level of Care Instrument(s).** Per 42 CFR § 441.303(c)(2), indicate whether the instrument/tool used to evaluate level of care for the waiver differs from the instrument/tool used to evaluate institutional level of care (*select one*):

- The same instrument is used in determining the level of care for the waiver and for institutional care under the state plan.**

- **A different instrument is used to determine the level of care for the waiver than for institutional care under the state plan.**

Describe how and why this instrument differs from the form used to evaluate institutional level of care and explain how the outcome of the determination is reliable, valid, and fully comparable.

- 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:

Any individual, his/her legal guardian, or such person(s) authorized by a power of attorney may request a level of care determination. Employees or authorized representatives from a nursing facility, hospital, or any other such healthcare or social services provider may also request a level of care determination on behalf of any individual for which that agency has the responsibility for the provision or coordination of healthcare services. Requests are entered into the Division's case management information system, matched to an application for or enrollment in a Medicaid long-term care program or service which requires a level of care evaluation/reevaluation, and screened for completeness and a reasonable indication of need for long-term care supports.

The Division submits an electronic referral to the Public Health Nursing County Office, serving the applicant/participant's county of residence or the county in which the applicant/participant is temporarily located. The Public Health Nursing County Office contacts the applicant/participant to schedule an appointment to conduct the evaluation/reevaluation. A registered nurse trained on the administration of the LT101 Level of Care Assessment instrument conducts the evaluation/reevaluation and submits the evaluation data through the Division's case management information system. The evaluation/reevaluation is typically conducted in the applicant/participant's residence, temporary residence, or the healthcare facility to which the applicant/participant has been admitted. The evaluation/reevaluation may be conducted in alternate location when justified by extenuating circumstances, such as homelessness.

The Division's case management information system applies the logic and scoring criteria established by the Division and returns a determination of whether the applicant/participant meets the nursing facility level of care. Applicants/participants determined not to require the nursing facility level of care are provided with a notice of their right to request a reconsideration and/or a fair hearing in accordance with the processes described in Appendix F of the waiver application.

- g. Reevaluation Schedule.** Per 42 CFR § 441.303(c)(4), reevaluations of the level of care required by a participant are conducted no less frequently than annually according to the following schedule (*select one*):

- **Every three months**
- **Every six months**
- **Every twelve months**
- **Other schedule**

*Specify the other schedule:*

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

- **The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.**
- **The qualifications are different.**

*Specify the qualifications:*

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

The Division's case management information system automatically generates a reevaluation referral to the Public Health Nursing County Offices for active waiver participants 60 days prior to the expiration of the annual service plan. Reevaluation timeliness is monitored by Division staff, the Public Health Nursing County Offices, and the Public Health Division through automated alerts, task lists, and reports generated by the Division's case management information system. Division staff follow up on outstanding/overdue reevaluations with the Public Health Nursing County Offices and/or the Public Health Division and require justification for any evaluations completed outside of the Division's established timelines.

**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:

Level of care evaluation/reevaluation records are maintained in the Division's case management information system for a minimum of 6 years.

## Appendix B: Evaluation/Reevaluation of Level of Care

### Quality Improvement: Level of Care

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

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

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

##### i. Sub-Assurances:

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

##### Performance Measures

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

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

##### Performance Measure:

**B.a1 Number and Percent of applicants who received the level of care assessment (LOC). Numerator: Number of applicants who received the LOC. Denominator: Total number of applicants.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case management information system**

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 30px; margin-top: 5px;"></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; width: 100%; height: 30px; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 30px; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 30px; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> ( <i>check each that applies</i> ):	<b>Frequency of data aggregation and analysis</b> ( <i>check each that applies</i> ):
Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

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

**Performance Measures**

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

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

**Performance Measure:**

**Pursuant to CMS guidance issued March 12, 2014, reporting on this subassurance is no longer required**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

N/A

<b>Responsible Party for data collection/generation</b> ( <i>check each that applies</i> ):	<b>Frequency of data collection/generation</b> ( <i>check each that applies</i> ):	<b>Sampling Approach</b> ( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample Confidence</b>

		Interval = <input type="text"/>
<input type="checkbox"/> <b>Other</b> Specify: <input type="text"/>	<input checked="" type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <input type="text"/>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <input type="text"/>
	<input type="checkbox"/> <b>Other</b> Specify: <input type="text"/>	

**Data Aggregation and Analysis:**

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

c. *Sub-assurance: The processes and instruments described in the approved waiver are applied*

*appropriately and according to the approved description to determine participant level of care.*

**Performance Measures**

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

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

**Performance Measure:**

**B.c1 Number and Percent of annual level of care (LOC) assessments conducted for each eligible participant in accordance with Division standards and the approved waiver. Numerator: Number of LOC assessments conducted for each eligible participant in accordance with Division standards and the approved waiver. Denominator: Total LOC evaluations conducted.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case management information system**

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

	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	
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**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis ( <i>check each that applies</i> ):	Frequency of data aggregation and analysis( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

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 QIO conducts peer reviews of the level of care evaluations performed by the Public Health Nursing County Offices in order to determine if those evaluations were performed using the standardized methods, tools, and processes described in the waiver application.

**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 and the state's method for analyzing information from individual problems, identifying systemic deficiencies, and implementing remediation actions. In addition, provide information on the methods used by the state to document these items.

Individual deficiencies identified through regular monitoring activities or through waiver performance measures are remediated by the Division staff through the provision of technical assistance, the imposition of a corrective action or sanction, and/or the enforcement of contract service level agreements.

In accordance with CMS guidance issued March 12, 2014, any performance measure with less than an 86% success rate warrants further analysis to determine the cause. The Division conducts a root cause analysis to identify contributing factors and determine underlying causes of deficiency for any measure with less than an 86% success rate. Based upon the findings of the root cause analysis, the Division may initiate a Quality Improvement Project (QIP). The QIP includes, at minimum:

- A description of remedial actions to be taken (e.g. training, revised policies/procedures, additional staff, different staffing patterns, provider/vendor corrective action);  
 - A timeline of remedial actions to be taken;  
 - The individuals responsible for effectuating remedial actions; and,  
 - The frequency with which performance/compliance is measured.

The HCBS Quality Improvement Committee assures accountability to the Division's stakeholders and provides oversight of quality improvement activities, including regular monitoring of QIP effectiveness.

**ii. Remediation Data Aggregation**

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

Responsible Party( <i>check each that applies</i> ):	Frequency of data aggregation and analysis ( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**c. Timelines**

When the state does not have all elements of the quality improvement strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Level of Care that are currently non-operational.

- No
- Yes

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

**Appendix B: Participant Access and Eligibility**

**B-7: Freedom of Choice**

**Freedom of Choice.** As provided in 42 CFR § 441.302(d), when an individual is determined to be likely to require a level of care for this waiver, the individual or his or her legal representative is:

- i. informed of any feasible alternatives under the waiver; and*
- ii. given the choice of either institutional or home and community-based services.*

**a. Procedures.** Specify the state's procedures for informing eligible individuals (or their legal representatives) of the feasible alternatives available under the waiver and allowing these individuals to choose either institutional or waiver services. Identify the form(s) that are employed to document freedom of choice. The form or forms are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Case managers provide options counseling on all feasible alternatives and document the participant's (and/or legal representative's, as appropriate) choices in the person-centered service plan. The person-centered service plan includes an explanation of the participant's rights and responsibilities, including their rights to exercise freedom of choice among feasible alternatives available under the waiver and to choose institutional services. The person-centered service plan is agreed to with the informed consent of the participant and signed by all individuals and providers responsible for its implementation.

- 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 person-centered service plan, including documentation of the participant's freedom of choice, is maintained in the Division's case management information system for a minimum of six years.

## Appendix B: Participant Access and Eligibility

### B-8: Access to Services by Limited English Proficiency Persons

**Access to Services by Limited English Proficient Persons.** Specify the methods that the state uses to provide meaningful access to the waiver by Limited English Proficient persons in accordance with the Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003):

Individuals with limited English language proficiency are not denied access to waiver services. The Division maintains a contract with a translation and interpretation provider. The provider offers translation services for documents and telephonic interpretation services in over 160 languages. Case managers assist applicants/participants with limited English language proficiency in accessing the telephonic translation services to support enrollment and service plan development activities, free of charge.

## Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	Adult Day Services		
Statutory Service	Case Management		
Statutory Service	Homemaker		
Statutory Service	Personal Support Services		
Statutory Service	Respite		
Extended State Plan Service	Home Health Aide		
Extended State Plan Service	Skilled Nursing		
Other Service	Assisted Living Facility Services		
Other Service	Assistive Technology		
Other Service	Companion Services		
Other Service	Environmental Modification		
Other Service	Home-Delivered Meals		
Other Service	Non-Medical Transportation		
Other Service	Personal Emergency Response System (PERS)		
Other Service	Transition Intensive Case Management		
Other Service	Transition Setup Expenses		

## Appendix C: Participant Services

### C-1/C-3: Service Specification

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

**Service Type:**

Statutory Service

**Service:**

Adult Day Health

**Alternate Service Title (if any):**

Adult Day Services

**HCBS Taxonomy:**

**Category 1:**

04 Day Services

**Sub-Category 1:**

04060 adult day services (social model)

**Category 2:**

04 Day Services

**Sub-Category 2:**

04050 adult day health

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Adult Day Services include part-time or intermittent services that consist of meaningful daytime activities that maximize or maintain skills and abilities; keep participants engaged in their environment and community through optimal care and support; actively stimulate, encourage, develop, and maintain personal skills; establish new relationships; improve or maintain flexibility, mobility, and strength; or build on previously learned skills. Adult Day Services provide active, person-centered supports which foster independence as identified in the participant's person-centered service plan. Adult Day Services are provided in non-institutional, community-based settings.

Transportation is a component of Adult Day Services and is included in the rate to providers. Adult Day Services do not include and do not replace or supplant the physical, occupational, and/or speech/language therapies available through the state plan.

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

Services are authorized based on the participant's assessed needs. Adult Day Services cannot be provided during sleeping hours. Services do not include the provision of physical, occupational, or speech, language, and hearing therapies available under the Medicaid State Plan.

ADS is billed at a 15-minute or daily unit. The 15-minute and daily unit cannot be billed on the same day. Any use of ADS

over four (4) hours a day must be billed as a daily unit.

Meals provided as part of these services shall not constitute a full nutritional regimen and are not intended to serve as the sole source of nutrition for the participant. If food insecurity is identified as a risk on the participant's assessment, the service plan must address how the participant's additional dietary needs are being met.

Adult Day Services cannot be provided during the same time period as other waiver services, which is subject to audit by the Program Integrity Unit within the Single State Medicaid Agency

Adult Day Services cannot be provided virtually.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Individual	Independent Provider
Agency	Agency certified to provide Adult Day Services
Agency	Senior Center

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**  
**Service Name: Adult Day Services**

**Provider Category:**

Individual

**Provider Type:**

Independent Provider

**Provider Qualifications**

**License** (specify):

**Certificate** (specify):

A provider of this service must be enrolled as a Medicaid provider, and is required to attain and maintain a certification for this service from the Division.

**Other Standard** (specify):

Providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules and Regulations, sub-regulatory guidance, and the Medicaid Provider Agreement.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be

conducted at least once every three (3) years. DHCf has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCf's discretion.

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**  
**Service Name: Adult Day Services**

**Provider Category:**

Agency

**Provider Type:**

Agency certified to provide Adult Day Services

**Provider Qualifications**

**License (specify):**

If the agency is an Adult Day Care Facility, it shall be fully licensed by the Wyoming Department of Health, Division of Aging pursuant to W.S. 35-2-901(a)(xxiii).

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider, and is required to attain and maintain a certification for this service from the Division.

**Other Standard (specify):**

Providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules and Regulations, sub-regulatory guidance, and the Medicaid Provider Agreement.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCf shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCf has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCf's discretion.

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**  
**Service Name: Adult Day Services**

**Provider Category:**

Agency

**Provider Type:**

Senior Center

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider, and is required to attain and maintain a certification for this service from the Division.

**Other Standard (specify):**

An agency determined as an eligible senior center in accordance with W.S. 9-2-1201(a)(iii) and overseen by the Wyoming Department of Health, Aging Division as credible and capable to receive grants for Older Americans Act services pursuant

to W.S. 9-2-1204(a)(vii).

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Statutory Service

**Service:**

Case Management

**Alternate Service Title (if any):**

**HCBS Taxonomy:**

**Category 1:**

01 Case Management

**Sub-Category 1:**

01010 case management

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Case Management is a required service that assists participants in gaining access to needed waiver and other state plan services, as well as medical, social, educational and other services, regardless of the funding source.

Case manager duties include:

- (1) Comprehensive assessment and periodic reassessment of participant's needs to determine the need for waiver services as well as any medical, educational, social, or other services.
- (2) Facilitation and oversight of the development (and periodic revision) of a person-centered service plan in accordance with DHCF policies and procedures.
- (3) Service coordination, referral, and other related activities (e.g., scheduling appointments for the participant, assisting with the Medicaid financial renewal application, etc.) to help the participant obtain needed services. This includes activities that help link the participant with medical, social, and educational providers or other programs and services that are capable of providing needed services to address the identified needs and achieve the goals specified in the service plan.
- (4) Conduct monthly activities as described below:
  - (i) Maintain direct contact with the participant and/or legal representative (if applicable), which must include a monthly in-person visit to the participant's place of residence. Additional service observations, and virtual or in-person interactions may also be required;
  - (ii) Review service utilization and documentation of traditional and participant-directed services to assure the amount, frequency, and duration of services is appropriate;
  - (iii) Follow-up on concerns or questions raised by the participant, legally authorized representative, or plan of care team, or identified through incident reports, complaints, or service observations;
  - (iv) When a participant chooses the participant-directed service delivery model, use the FMS portal to review service delivery information, determine budget usage, provide ongoing monitoring of the participant's budget, and report improper budget usage to the assigned DHCF staff member.
- (5) Service plan implementation, monitoring, and follow-up activities, including activities and contacts that are necessary to ensure that the service plan is effectively implemented and adequately addresses the needs of the participant. Contacts may be with the participant, legal representative, as appropriate, family members, service providers, or other entities or individuals and are conducted at minimum monthly but more often as necessary in order to:
  - (i) Ensure services are being furnished in accordance with the participant's service plan;
  - (ii) Evaluate the effectiveness of the service plan in meeting the participant's needs;
  - (iii) Identify any changes in the participant's condition or circumstances;
  - (iv) Screen for any potential risks or concerns;
  - (v) Assess the participant's satisfaction with services and supports;
  - (vi) Make any necessary adjustments in the service plan and service arrangements with providers; and
  - (vii) Report and follow-up on all critical and non-critical incidents in accordance with DHCF policies.
  - (viii) Monitor for compliance with HCBS settings criteria.
- (6) Information and assistance in support of participant direction as necessary:
  - (i) Inform participants of participant direction opportunities;
  - (ii) Ensure participants who express an interest in participant direction are informed of the potential benefits, liabilities,

risks, and responsibilities associated with each service delivery option;

(iv) Assist the participant/designated employer in obtaining and completing required documents as determined by the Department;

(v) Coordinate with the Department to verify the participant's budget allocation in accordance with the Department's methodology;

(vi) Coordinate with the Financial Management Services (FMS) agency; and

(vii) Monitor participant-directed service effectiveness, quality, and expenditures against the monthly budget allocation.

Non-billable activities include:

- Ancillary, supervisory, or administrative activities, such as mailing, coping, filing, and activities associated with provider certification renewal.
- Time spent with the participant or legally authorized representative for social reasons, unless billable case management activities are also occurring.

The Centers for Medicare and Medicaid Services does not consider incidental contact and social exchanges to be case management activity.

- Travel time, which has already been included as part of the rate for this service.

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

The participant's service plan must be reviewed and updated annually. Reimbursement includes the development of the person-centered service plan, any periodic service plan modification activities as necessary to ensure that the service plan is effectively implemented and adequately addresses the needs and desires of the participant.

The monthly unit may only be billed on or after the last day of the month.

The 15-minute unit can be billed at a maximum of 16 units per month, 192 units per service plan year.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Individual	Independent Provider
Agency	Case Management Agency

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**  
**Service Name: Case Management**

**Provider Category:**

Individual

**Provider Type:**

Independent Provider

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

An independent case manager is required to attain and maintain a certification for this service from DHCF.

**Other Standard (specify):**

An independent case manager must meet the requirements in Chapter 34 of Wyoming Medicaid Rules. An independent case manager must meet the training, education, experience, and conflict of interest requirements established in Appendix D-1-a of this Application.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**

**Service Name: Case Management**

**Provider Category:**

Agency

**Provider Type:**

Case Management Agency

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Must be a County Public Health Nursing Agency designated by the Wyoming Department of Health, Public Health Division; or corporation, Limited Liability Company (LLC), non-profit organization, or sole proprietorship.

Case management agencies must ensure all case managers meet the training, education, experience, and conflict of interest requirements as described in Appendix D-1-a of this application. Case management agencies must maintain adequate administrative and staffing resources and emergency backup systems to deliver case management services in accordance with all state and federal requirements. Each case management agency must have internal mechanisms for assessing and managing the performance of each case manager. Should the case management agency fail to address case manager performance concerns to the Division's satisfaction, the Division may require retraining or other progressive disciplinary actions, up to and including termination of the case manager's status as a Community Choices Waiver program case manager.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

## Appendix C: Participant Services

### C-1/C-3: Service Specification

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

**Service Type:**

Statutory Service

**Service:**

Homemaker

**Alternate Service Title (if any):**

Homemaker

**HCBS Taxonomy:**

**Category 1:**

08 Home-Based Services

**Sub-Category 1:**

08050 homemaker

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Homemaker Services consist of chore-type activities and routine household care that is not covered by Personal Support Services, and is considered a non-direct service. Homemaker is an indirect service as providers do not prompt or assist the participant in the completion of a task, and the participant is not required to be present when the service occurs.

Examples of covered tasks include but are not limited to meal preparation, shopping for groceries and personal items, laundry and ironing, and household cleaning to include regular home maintenance and more involved cleaning tasks such as cleaning appliances and washing windows. All tasks must be completed for the benefit of the participant.

As Homemaker is an indirect service, this service can be provided at the same time that direct services are being provided to

the participant by a different provider or provider staff.

This service may be participant-directed.

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

A maximum of three (3) hours per week per household (624 units per year) is allowed.

A provider of Homemaker Services shall not bill for two participants during the same time frame. Transportation costs are not associated with the provision Homemaker Services.

If Homemaker and Personal Support Services or Home Health Aide are listed on the participant's plan, the case manager must indicate how Homemaker services will be different from the chore services associated with Personal Support Services or Home Health Aide. There is a higher chance that the case management information system will trigger a Quality Improvement Review (QIR) of the person-centered service plan when Homemaker is added to a plan that includes Personal Support Services or Home Health Aide. The Benefits and Eligibility Specialist (BES) will review the information included in the person-centered service plan and work with the case manager if additional clarification is needed or concerns are noted.

Homemaker Services may be participant-directed, but a participant-directed employee cannot work more than 40 hours per week. Services offered through participant-direction are only billable in 15-minute increments.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Individual	Participant-directed employee hired under the participant-direction service delivery option
Agency	Agency Provider

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**

**Service Name: Homemaker**

**Provider Category:**

Individual

**Provider Type:**

Participant-directed employee hired under the participant-direction service delivery option

**Provider Qualifications**

**License** (specify):

**Certificate** (specify):

**Other Standard** (specify):

The participant or the designated employer of record must be determined to meet the criteria for election of the participant directed service option as described in Appendix E-1, and submit all necessary documentation to enroll as the employer of record with the contracted Financial Management Services (FMS) agency and the Division's fiscal agent.

All individuals employed under the participant-directed service delivery option must be at least 18 years of age and successfully complete the Division-sponsored training curriculum. The participant or designated employer of record may require that their employees meet additional training, education, or experience requirements.

Prior to providing services, an individual being hired by the participant shall:

- Be at least 18 years of age;
- Successfully pass a criminal history background screening;
- Be able to effectively communicate with the participant and other stakeholders; and
- Be able to complete record keeping as required by the employer.

A participant's spouse can be hired as an employee if there is no evidence that demonstrates the spouse is authorized to make financial decisions on behalf of the participant. For a spouse to be hired to provide this service the participant must require care that exceeds the range of activities that a spouse would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization.

The employer of record, with assistance as needed from the case manager, shall verify that, prior to working alone with the participant, the individual being hired has received training on the participant's person-centered service plan and has received training on the following Division requirements:

- Participant choice;
- Recognizing abuse and neglect;
- Incident reporting;
- Participant rights and confidentiality;
- Emergency drills and situations; and
- Documentation standards.

Employees who are hired to provide Homemaker services through the participant-directed service delivery option are required to take the following trainings every two years. These trainings are developed by the State and available on the Home and Community-Based Services Section website:

- Identifying and Reporting Abuse, Neglect, and Exploitation
- Roles and Responsibilities in Participant Direction
- Infection Control, Health, and Safety

All employees must receive training on the participant's specific needs, and how the participant wants to be supported. This training is conducted by the employer of record, and must be completed annually, or whenever a change is made to the person-centered service plan- that would change service delivery expectations. at a minimum.

The Financial Management Services (FMS) Agency collects all required training documentation for participant-directed employees, and ensures that employees continue to meet training requirements.

### **Verification of Provider Qualifications**

#### **Entity Responsible for Verification:**

The contracted FMS agency verifies and maintains documentation of employment eligibility status, criminal history and background investigation, and required training.

The participant or designated employer of record must verify and maintain documentation of any additional qualifications.

The contracted FMS agency maintains a directory of individuals who are interested in additional employment opportunities under the participant-directed service delivery option

#### **Frequency of Verification:**

The FMS verifies minimum provider qualifications upon hire and the agency does a quarterly audit on a representative sample of employment files.

## Appendix C: Participant Services

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

**Service Type: Statutory Service**

**Service Name: Homemaker**

**Provider Category:**

Agency

**Provider Type:**

Agency Provider

**Provider Qualifications**

**License (specify):**

If the agency is a Home Health Agency, it shall be fully licensed in the State of Wyoming.

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider, and is required to attain and maintain a certification for this service from the Division.

**Other Standard (specify):**

Providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules and Regulations, sub-regulatory guidance, and the Medicaid Provider Agreement.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

Employee qualifications are verified by the Wyoming Department of Health, Aging Division as part of the initial and periodic agency licensure surveys.

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

## Appendix C: Participant Services

### C-1/C-3: Service Specification

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

**Service Type:**

Statutory Service

**Service:**

Personal Care

**Alternate Service Title (if any):**

Personal Support Services

**HCBS Taxonomy:**

**Category 1:**

08 Home-Based Services

**Sub-Category 1:**

08030 personal care

Category 2:

08 Home-Based Services

Sub-Category 2:

08050 homemaker

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Personal Support Services include part-time or intermittent assistance to enable participants to accomplish activities of daily living such as eating, bathing, grooming, dressing, using the restroom, and functional mobility tasks that they would normally do for themselves if they did not have a disability. Personal support assistance may take the form of hands-on assistance (actually performing a task for the person) or prompting the participant to perform a task.

Personal Support Services may also consist of general household tasks when those tasks are incidental to the Personal Support Service being provided during the visit, when the participant is unable to manage the home and care for themselves, and the individual regularly responsible for these activities is temporarily absent or unable to conduct these activities. However, incidental chore type tasks shall not comprise the entirety of this service.

Personal Support Services may be provided in the home or in the community when the participant requires assistance with activities of daily living in order to participate in community activities or to access other services in the community. The participant must be present during the delivery of Personal Support Services, and must be able to demonstrate how they encouraged participant engagement during service delivery.

This service may be participant-directed.

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

Personal Support Services may not include companionship or other services which are diversional or recreational in nature. Personal Support Services cannot be provided during sleeping hours. Participant transportation costs are not associated with the provision of personal support services and must be billed separately.

If Personal Support Services and Homemaker are listed on the participant's plan, the case manager must indicate how the chore services associated with Personal Support Services will be different from Homemaker Services. There is a higher chance that the case management information system will trigger a Quality Improvement Review (QIR) of the person-centered service plan when Homemaker is added to a plan that includes Personal Support Services or Home Health Aide. The Benefits and Eligibility Specialist (BES) will review the information included in the person-centered service plan and work with the case manager if additional clarification is needed or concerns are noted.

Personal Support Services and Home Health Aide Services may be included on the same service plan, but these services cannot be billed for during the same time frame.

Personal Support Services may be participant-directed, but a participant-directed employee cannot work more than 40 hours per week. Services offered through participant-direction are only billable in 15-minute increments.

Tasks requiring a license can only be completed by licensed individuals.

Waiver services shall not duplicate services offered through another funding source, such as Section 110 of the Rehabilitation Act of 1973 (Vocational Rehabilitation or Workforce Services), the Individuals with Disabilities Education Act (20 U.S.C. 1401 et seq.), third-party insurance, or the Medicaid State Plan. Medically necessary personal care services

for individuals under the age of 21 are provided under the Medicaid State Plan in accordance with Early and Periodic Screening, Diagnostic, and Treatment (EPSDT) coverage requirements.

This service is subject to electronic visit verification.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Individual	Participant-directed employee hired under the participant-direction service delivery option
Agency	Home Health Agency

## Appendix C: Participant Services

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

**Service Type: Statutory Service**  
**Service Name: Personal Support Services**

**Provider Category:**

Individual

**Provider Type:**

Participant-directed employee hired under the participant-direction service delivery option

**Provider Qualifications**

**License** (specify):

**Certificate** (specify):

**Other Standard** (specify):

The participant or the designated employer of record must be determined to meet the criteria for election of the participant-directed service option as described in Appendix E-1, and submit all necessary documentation to enroll as the employer of record with the contracted Financial Management Services (FMS) agency and the Division's fiscal agent.

All individuals employed under the participant-directed service delivery option must be at least 18 years of age and successfully complete the Division-sponsored training curriculum. The participant or designated employer of record may require that their employees meet additional training, education, or experience requirements.

Prior to providing services, an individual being hired by the participant shall:

- Be at least 18 years of age;
- Successfully pass a criminal history background screening;
- Be able to effectively communicate with the participant and other stakeholders; and
- Be able to complete record keeping as required by the employer.

A participant's spouse can be hired as an employee if there is no evidence that demonstrates the spouse is authorized to make financial decisions on behalf of the participant. For a spouse to be hired to provide this service the participant must require care that exceeds the range of activities that a spouse would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization.

The employer of record, with assistance as needed from the case manager, shall verify that, prior to working alone with the participant, the individual being hired has received training on the participant's service plan and has received training on the following Division requirements:

- Participant choice;
- Recognizing abuse and neglect;
- Incident reporting;
- Participant rights and confidentiality;
- Emergency drills and situations; and
- Documentation standards.

Employees who are hired to provide Personal Support Services through the participant-directed service delivery option are required to take the following trainings, which are developed by the State and available on the Home and Community-Based Services Section Training website:

- Identifying and Reporting Abuse, Neglect, and Exploitation
- Roles and Responsibilities in Participant Direction
- Infection Control, Health, and Safety

These trainings are required every two years. Additionally, all employees must receive training on the participant's specific needs, and how the participant wants to be supported. This training is conducted by the employer of record, and must be completed annually, at a minimum.

The Financial Management Services (FMS) Agency collects all required training documentation for participant-directed employees, and ensures that these employees continue to meet training requirements.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

The contracted FMS agency verifies and maintains documentation of employment eligibility status, criminal history and background investigation, and required training.

The participant or designated employer of record must verify and maintain documentation of any additional qualifications.

The contracted FMS agency maintains a directory of individuals who are interested in additional employment opportunities under the participant-directed service delivery option.

**Frequency of Verification:**

The FMS verifies minimum provider qualifications upon hire and the agency does a quarterly audit on a representative sample of employment files.

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**  
**Service Name: Personal Support Services**

**Provider Category:**

Agency

**Provider Type:**

Home Health Agency

**Provider Qualifications**

**License (specify):**

Licensed by the Wyoming Department of Health, Division of Aging pursuant to W.S. 35-2-901(a)(xi). The individual providing the service must meet the training requirements established by the Aging Division's Rules and Regulations for Home Health Agency Administration.

**Certificate** (specify):

**Other Standard** (specify):

Certified providers will meet all Division required training and ensure that employees meet training standards identified by the Division.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

Employee qualifications are verified by the Wyoming Department of Health, Aging Division as part of the initial and periodic agency licensure surveys.

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

**Service:**

**Alternate Service Title (if any):**

**HCBS Taxonomy:**

**Category 1:**

**Sub-Category 1:**

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Respite services are provided to participants unable to care for themselves that are furnished on a short-term basis because of the absence or need for relief of those persons who normally provide care for the participant.

Respite services may be delivered in the participant's home or in the community when the participant requires assistance with activities of daily living in order to participate in community activities or to access other services in the community.

Respite services may not be authorized based on the participant's needs for companionship or those which are diversional/recreational in nature. Participant transportation costs are not associated with the provision of Respite services and must be billed separately.

This service may be participant-directed.

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

Services are authorized by a case manager based on the participant's assessed need and are limited to the prorated equivalent of thirty (30) days per service plan year.

Respite is billed at a 15-minute or daily unit. The 15-minute and daily unit cannot be billed on the same day. Any use of respite over nine (9) hours a day must be billed as a daily unit.

Respite services cannot be provided during the same time period as other waiver services, which is subject to audit by the Program Integrity Unit within the Single State Medicaid Agency.

Respite may be participant-directed, but a participant-directed employee can only work 40 hours per week. Services offered through participant-direction are only billable in 15-minute increments.

This service is subject to electronic visit verification.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Agency Provider
Individual	Participant-directed employee hired under the participant-direction service delivery option
Agency	Home Health Agency

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**

---

**Service Name: Respite**

---

**Provider Category:**

Agency

**Provider Type:**

Agency Provider

**Provider Qualifications**

**License (specify):**

If the agency is a Home Health Agency, it shall be fully licensed in the State of Wyoming.

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider, and is required to attain and maintain a certification for this service from the Division.

**Other Standard (specify):**

Providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules and Regulations, sub-regulatory guidance, and the Medicaid Provider Agreement.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

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

---

**Service Type: Statutory Service**

**Service Name: Respite**

---

**Provider Category:**

Individual

**Provider Type:**

Participant-directed employee hired under the participant-direction service delivery option

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

The participant or the designated employer of record must be determined to meet the criteria for election of the participant-directed service option as described in Appendix E-1, and submit all necessary documentation to enroll as the employer of record with the contracted Financial Management Services (FMS) agency and the Division's fiscal agent.

All individuals employed under the participant-directed service delivery option must be at least 18 years of age and successfully complete the Division-sponsored training curriculum. The participant or designated employer of record may require that their employees meet additional training, education, or experience requirements.

Prior to providing services, an individual being hired by the participant shall:

- Be at least 18 years of age;

- Successfully pass a criminal history background screening;
- Be able to effectively communicate with the participant and other stakeholders; and
- Be able to complete record keeping as required by the employer.

A participant's spouse can be hired as an employee if there is no evidence that demonstrates the spouse is authorized to make financial decisions on behalf of the participant. For a spouse to be hired to provide this service the participant must require care that exceeds the range of activities that a spouse would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization.

The employer of record, with assistance as needed from the case manager, shall verify that, prior to working alone with the participant, the individual being hired has received training on the participant's person-centered service plan and has received training on the following Division requirements:

- Participant choice;
- Recognizing abuse and neglect;
- Incident reporting;
- Participant rights and confidentiality;
- Emergency drills and situations; and
- Documentation standards.

Employees who are hired to provide Respite through the participant-directed service delivery option are required to take the following trainings every two years. These trainings are developed by the State and available on the Home and Community-Based Services Section website:

- Identifying and Reporting Abuse, Neglect, and Exploitation
- Roles and Responsibilities in Participant Direction
- Infection Control, Health, and Safety

All employees must receive training on the participant's specific needs, and how the participant wants to be supported. This training is conducted by the employer of record, and must be completed annually, or whenever a change is made to the person-centered service plan that would change service delivery expectations. at a minimum.

The Financial Management Services (FMS) Agency collects all required training documentation for participant-directed employees, and ensures that employees continue to meet training requirements.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

The contracted FMS agency verifies and maintains documentation of employment eligibility status, criminal history and background investigation, and required training.

The participant or designated employer of record must verify and maintain documentation of any additional qualifications.

The contracted FMS agency maintains a directory of individuals who are interested in additional employment opportunities under the participant-directed service delivery option.

**Frequency of Verification:**

The FMS verifies minimum provider qualifications upon hire and the agency does a quarterly audit on a representative sample of employment files.

**Appendix C: Participant Services**

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

**Service Type: Statutory Service**

**Service Name: Respite**

**Provider Category:**

Agency

**Provider Type:**

Home Health Agency

**Provider Qualifications**

**License (specify):**

Home Health Agency License granted by the Wyoming Department of Health, Aging Division pursuant to W.S. 35-2-901(a)(xi).

**Certificate (specify):**

Employee: Certified Nursing Assistant/Nurse Aide by the Wyoming State Board of Nursing in accordance with the Wyoming Nurse Practice Act [W.S. 33-21-120 et seq.].

**Other Standard (specify):**

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

Employee qualifications are verified by the Wyoming Department of Health, Aging Division as part of the initial and periodic agency licensure surveys.

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Extended State Plan Service

**Service Title:**

Home Health Aide

**HCBS Taxonomy:**

**Category 1:**

08 Home-Based Services

**Sub-Category 1:**

08020 home health aide

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Home Health Aide Services include part-time or intermittent assistance with personal care and other daily living needs that are within the scope of practice and required to be delivered by a Certified Nurse Aide (CNA) under the Wyoming Nurse Practice Act.

HCBS Home Health Aide Services differ in nature and scope from Medicaid State Plan Home Health Aide Services. HCBS Home Health Aide Services are not limited to rehabilitative services, may be provided on a long-term basis, are not subject to a physician's review every 60 days, and may include general household tasks, such as meal preparation, grocery or personal needs shopping, and light housekeeping when those tasks are incidental to the personal care provided during the visit, the participant is unable to complete these tasks, and the individual regularly responsible for these activities is temporarily absent or unable to conduct these activities.

Home Health Aide Services may be provided in the home or in the community when the participant requires assistance in order to participate in community activities or to access other services. The participant must be present during the delivery of Home Health Aide Services, and the provider must be able to demonstrate how they encouraged participant engagement during service delivery.

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

Home Health Aide services do not include companionship or other services which are diversional or recreational in nature. Home Health Aide services cannot be provided during sleeping hours.

Waiver services shall not duplicate services offered through another funding source, such as Section 110 of the Rehabilitation Act of 1973 (Vocational Rehabilitation or Workforce Services), the Individuals with Disabilities Education Act (20 U.S.C. 1401 et seq.), third-party insurance, or the Medicaid State Plan. Participant transportation costs are not associated with the provision of home health aide services and must be billed separately.

Medically necessary Home Health Aide Services for individuals under the age of 21 are provided under the state plan in accordance with Early and Periodic Screening, Diagnostic and Treatment (EPSDT) coverage requirements.

If Home Health Aide and Homemaker are listed on the participant's plan, the case manager must indicate how the chore services associated with Home Health Aide will be different from Homemaker Services. There is a higher chance that the case management information system will trigger a Quality Improvement Review (QIR) of the person-centered service plan when Homemaker is added to a plan that includes Home Health Aide or Personal Support Services (PSS). The Benefits and Eligibility Specialist (BES) will review the information included in the person-centered service plan and work with the case manager if additional clarification is needed or concerns are noted.

Home Health Aide Services and Personal Support Services may be included on the same service plan, but the services cannot be billed for during the same time frame.

This service is subject to electronic visit verification.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative

Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Home Health Agency

**Appendix C: Participant Services**

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

**Service Type: Extended State Plan Service**

**Service Name: Home Health Aide**

**Provider Category:**

Agency

**Provider Type:**

Home Health Agency

**Provider Qualifications**

**License (specify):**

Home Health Agency License granted by the Wyoming Department of Health, Aging Division pursuant to W.S. 35-2-901(a)(xi).

**Certificate (specify):**

Employee: Certified Nursing Assistant/Nurse Aide by the Wyoming State Board of Nursing in accordance with the Wyoming Nurse Practice Act [W.S. 33-21-120 et seq.].

**Other Standard (specify):**

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

Employee qualifications are verified by the Wyoming Department of Health, Aging Division as part of the initial and periodic agency licensure surveys.

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Extended State Plan Service

**Service Title:**

Skilled Nursing

**HCBS Taxonomy:**

**Category 1:**

05 Nursing

**Sub-Category 1:**

05020 skilled nursing

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Part-time or intermittent Skilled Nursing care which is within the scope of practice and required to be delivered by a Registered Nurse (RN) or Licensed Practical Nurse (LPN) under the Wyoming Nurse Practice Act. Waiver skilled nursing services are provided in addition to the Skilled Nursing services as defined by 42 CFR §440.70 and furnished under the Wyoming Medicaid State Plan.

Skilled Nursing services under the waiver differ in nature and scope from state plan skilled nursing services in that the waiver services are not limited to rehabilitative services as defined by 42 CFR §440.130, may be provided on a long-term basis, and are not subject to a physician's review every 60 days.

Skilled Nursing services may be provided in the home or in the community when the participant requires assistance in order to participate in community activities or to access other services in the community. Skilled Nursing may not include companionship or other services which are diversional/recreational in nature. Participant transportation costs are not associated with the provision of Skilled Nursing services and must be billed separately.

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

Skilled Nursing services may not duplicate those available through the state plan or those included in the participant's Individualized Education Plan (IEP) and are authorized by a contracted Quality Improvement Organization (QIO) in accordance with the participant's assessed needs. Medically necessary skilled nursing services for individuals under the age of 21 are provided under the state plan in accordance with Early and Periodic Screening, Diagnostic, and Treatment (EPSDT) coverage requirements.

The service is limited to the amount of time determined by the Skilled Nursing assessment and letter from the Division's Utilization Management vendor.

This service is subject to electronic visit verification.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Home Health Agency

**Appendix C: Participant Services**

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

**Service Type: Extended State Plan Service**

**Service Name: Skilled Nursing**

**Provider Category:**

Agency

**Provider Type:**

Home Health Agency

**Provider Qualifications**

**License (specify):**

Home Health Agency License granted by the Wyoming Department of Health, Aging Division pursuant to W.S. 35-2-901(a)(xi).

Employee: Registered Nurse or Licensed Practical Nurse by the Wyoming State Board of Nursing in accordance with the Wyoming Nurse Practice Act [W.S. 33-21-120 et seq.].

**Certificate (specify):**

**Other Standard (specify):**

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

Employee qualifications are verified by the Wyoming Department of Health, Aging Division as part of the initial and periodic agency licensure surveys.

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Other Service

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

in statute.

**Service Title:**

Assisted Living Facility Services

**HCBS Taxonomy:**

**Category 1:**

02 Round-the-Clock Services

**Sub-Category 1:**

02013 group living, other

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Assisted Living Facility Services include personal care and supportive services, to the extent permitted under state law, that are furnished to waiver participants who reside in a setting that meets the home and community-based setting requirements and includes 24-hour on-site response capability to meet scheduled or unpredictable resident needs and to provide supervision, safety and security. Services also include social and recreational programming, and medication assistance, to the extent permitted under state law.

In the event that a participant's needs extend beyond the facility's capability to support those needs within its licensure authority, the facility may consult with the participant's case manager to coordinate additional Medicaid or non-Medicaid services to supplement, but not replace, the care provided by the assisted living facility. Services that are provided by third parties must be coordinated by the Assisted Living facility.

Participant transportation costs are included in the rate for the Assisted Living Facility services. There can be no duplication of services between Non-Medical Transportation and transportation provided under Assisted Living Facility Services.

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

Reimbursement does not include the costs for room and board, items of comfort or convenience, or facility maintenance, upkeep, and improvement.

Nursing and skilled therapy services are incidental rather than integral to the provision of assisted living services; therefore, reimbursement does not include 24-hour skilled care.

Assisted Living Facility services do not include services which are available through the state plan.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Assisted Living Facility

## Appendix C: Participant Services

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

**Service Type:** Other Service  
**Service Name:** Assisted Living Facility Services

**Provider Category:**

Agency

**Provider Type:**

Assisted Living Facility

**Provider Qualifications**

**License (specify):**

Assisted Living Facility License granted by the Wyoming Department of Health, Aging Division pursuant to W.S. 35-2-901(a)(xxii).

**Certificate (specify):**

**Other Standard (specify):**

Providers must be able to support a participant in accordance with a participant's person-centered service plan.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCF's discretion.

## Appendix C: Participant Services

### C-1/C-3: Service Specification

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

**Service Type:**

Other Service

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

**Service Title:**

Assistive Technology

**HCBS Taxonomy:**

**Category 1:**

14 Equipment, Technology, and Modifications

**Sub-Category 1:**

14031 equipment and technology

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Assistive Technology (AT) means any item, piece of equipment, or product system, whether acquired commercially, modified, or customized, that is used to increase, maintain, or improve functional capabilities of participants. AT must improve or maintain the participant's level of independence, ability to perform activities of daily living, ability to access needed supports and services in the community, or be required to ensure a participant's health and welfare, and must be based on assessed needs and identified in the participant's person-centered service plan.

AT Equipment includes a range of products, equipment, and systems that enhance learning, working, and daily living for participants. AT includes, but is not limited to, devices like screen readers, large keyboards, electronic speech aids, smart pens, adaptive locks, display video magnifiers, speech amplifiers, and non-slip mat. AT equipment consists of purchasing, leasing, or otherwise providing for the acquisition of AT devices by a participant, including selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing, or replacing AT devices.

AT Service means a service that directly assists a participant in the selection, acquisition, or use of AT Equipment including:

- AT Professional Evaluation: the evaluation of the AT needs of a participant, including a functional evaluation of the impact of the provision of appropriate AT equipment and services to achieve outcomes in the participant's person-centered service plan.
- AT Delivery and Subscription: monthly implementation of service and monitoring of the technology equipment and participant, as necessary. Reimbursement for an ongoing monthly charge of participant internet services is not covered.
- AT Support: training or technical assistance beyond that included in initial installation/training and routine service delivery that aids a participant in the use of AT Equipment as well as training for the participant's family members, guardians, advocates, authorized representatives, providers, employers, persons who are otherwise substantially involved in activities being supported by the AT Equipment, or other members of the person-centered care plan team. AT Support may include, when necessary, coordination with complementary therapies, interventions, or devices.

All other reimbursement sources must be explored and utilized, including the Medicaid State Plan services, prior to reimbursement of AT equipment and AT services.

AT equipment and AT services require prior authorization and approval by WDH. Documentation for prior authorization must describe how the participant's expected use, purpose, and intended place of use have been matched to features of the AT Equipment requested in order to achieve the desired outcome in an efficient and cost-effective manner.

AT equipment above \$1,000 requires a professional evaluation focused on evaluating the AT needs of a participant. The evaluation may be conducted by a licensed occupational therapist; a speech, hearing, or language therapist; a physical therapist; a certified assistive technology professional; or other professional meeting all applicable WDH standards, including regulations, policies, and procedures relating to provider qualifications. In certain circumstances, WDH may waive the professional evaluation of AT Equipment above \$1,000 and allow the case manager to complete the functional assessment as part of the person-centered planning process to fulfill this evaluation requirement.

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

AT equipment and services has a \$4,000 annual limit for all components and is subject to prior authorization through WDH. The cost of the AT Professional Evaluation must be funded as a part of the \$4,000 cap.

AT Professional Evaluation is limited to eight (8) hours per year. AT Support is limited to eight (8) hours per year. WDH may approve additional funding for AT Professional Evaluation and AT Support if the participant has a documented need for new or additional types of AT equipment in the same year.

If a participant's need cannot be met within the limits, WDH may approve exceeding the \$4,000 overall annual limit, if requested by the participant or their case manager, and reviewed by an eligibility specialist. The person-centered service plan must document when the limit for this service is exceeded and results in a decreased need of one or more other waiver services.

Case managers are responsible for checking with Medicaid (including the State Plan DME service), Medicare, and a participant's other insurance carrier, as applicable, to see if the requested equipment is covered under their plans. The provider must then sign a third party verification form indicating that the Community Choices Waiver is the payor of last resort.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Individual	Independent Provider
Agency	Assistive Technology Vendor
Agency	Case Management Provider

**Appendix C: Participant Services**

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

**Service Type:** Other Service

**Service Name:** Assistive Technology

**Provider Category:**

Individual

**Provider Type:**

Independent Provider

[Empty text box]

**Provider Qualifications**

**License (specify):**

[Empty text box]

**Certificate (specify):**

An independent case manager is required to attain and maintain a certification for this service from DHCF.

**Other Standard (specify):**

An independent case manager must meet the requirements in Chapter 34 of Wyoming Medicaid Rules. An independent case manager must meet the training, education, experience, and conflict of interest requirements established in Appendix D-1-a of this Application.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Assistive Technology**

**Provider Category:**

Agency

**Provider Type:**

Assistive Technology Vendor

**Provider Qualifications**

**License (specify):**

[Empty text box]

**Certificate (specify):**

[Empty text box]

**Other Standard (specify):**

A corporation, limited liability company, non-profit organization, sole proprietorship, or other business entity registered in good standing with the Wyoming Secretary of State. The vendor must also produce documentation that the agency is an authorized dealer, supplier, or manufacturer of AT Equipment.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF will initially certify a new agency providing this service for one year. Renewal of that certification will be conducted at least once every three (3) years

**Appendix C: Participant Services**

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

**Service Type: Other Service**  
**Service Name: Assistive Technology**

**Provider Category:**

Agency

**Provider Type:**

Case Management Provider

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Must be a County Public Health Nursing Agency designated by the Wyoming Department of Health, Public Health Division; or corporation, Limited Liability Company (LLC), non-profit organization, sole proprietorship, or other business entity registered in good standing with the Wyoming Secretary of State.

Case management agencies must ensure all case managers meet the training, education, experience, and conflict of interest requirements as described in Appendix D-1-a of this application. Case management agencies must maintain adequate administrative and staffing resources and emergency backup systems to deliver case management services in accordance with all state and federal requirements. Each case management agency must have internal mechanisms for assessing and managing the performance of each case manager. Should the case management agency fail to address case manager performance concerns to the Division's satisfaction, the Division may require retraining or other progressive disciplinary actions, up to and including termination of the case manager's status as a Community Choices Waiver program case manager.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Other Service

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

**Service Title:**

Companion Services

**HCBS Taxonomy:**

**Category 1:**

08 Home-Based Services

**Sub-Category 1:**

08040 companion

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Companion Services include part-time or intermittent services that consist of supervision, socialization, and assistance for a participant to maintain safety in the home and community, and to enhance independence. Companions may assist or supervise the participant with tasks such as meal preparation, laundry, and shopping, but do not perform these activities as discrete services. Companions may also perform light housekeeping tasks that are incidental to the care and supervision of the participant. The provision of Companion Services does not entail hands-on nursing care, but does include personal care, such as medication assistance, and assistance with activities of daily living, as needed, during the provision of services. Routine transportation is included in the reimbursement rate.

This service may be participant-directed.

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

Companion Services are reimbursed at a 15-minute unit. Service can be provided for no more than nine (9) hours a day except for special events or out of town trips. This service cannot be used to provide monitoring while a participant sleeps.

Services cannot be provided during the same time period as other waiver services, which is subject to audit by the Program Integrity Unit.

Companion services provided to participants ages 19 through 21 must not duplicate or replace services that are covered under IDEA. Services cannot be provided during the same time period as other waiver services, which is subject to audit by the Program Integrity Unit.

Companion Services may be participant-directed, but a participant-directed employee cannot work more than 40 hours per week. Services offered through participant-direction are only billable in 15-minute increments.

This service is subject to electronic visit verification.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Agency certified by DHCF to provide service
Individual	Participant-directed employee hired under the participant-direction service delivery option
Agency	Senior Center
Individual	Independent Provider

**Appendix C: Participant Services**

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

**Service Type: Other Service**  
**Service Name: Companion Services**

**Provider Category:**

Agency

**Provider Type:**

Agency certified by DHCF to provide service

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules and Regulations, sub-regulatory guidance, and the Medicaid Provider Agreement.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF will initially certify a new agency providing this service for one year. Renewal of that certification, which may include an on-site visit, will be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at the agency's discretion.

**Appendix C: Participant Services**

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

**Service Type: Other Service**  
**Service Name: Companion Services**

**Provider Category:**

Individual

**Provider Type:**

Participant-directed employee hired under the participant-direction service delivery option

**Provider Qualifications**

**License (specify):**

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

The participant or the designated employer of record must be determined to meet the criteria for election of the participant directed service option as described in Appendix E-1, and submit all necessary documentation to enroll as the employer of record with the contracted Financial Management Services (FMS) agency and the Division's fiscal agent.

All individuals employed under the participant-directed service delivery option must be at least 18 years of age and successfully complete the Division-sponsored training curriculum. The participant or designated employer of record may require that their employees meet additional training, education, or experience requirements.

Prior to providing services, an individual being hired by the participant shall:

- Be at least 18 years of age;
- Successfully pass a criminal history background screening;
- Be able to effectively communicate with the participant and other stakeholders; and
- Be able to complete record keeping as required by the employer.

A participant's spouse can be hired as an employee if there is no evidence that demonstrates the spouse is authorized to make financial decisions on behalf of the participant. For a spouse to be hired to provide this service the participant must require care that exceeds the range of activities that a spouse would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization.

The employer of record, with assistance as needed from the case manager, shall verify that, prior to working alone with the participant, the individual being hired has received training on the participant's person-centered service plan and has received training on the following Division requirements:

- Participant choice;
- Recognizing abuse and neglect;
- Incident reporting;
- Participant rights and confidentiality;
- Emergency drills and situations; and
- Documentation standards.

Employees who are hired to provide Companion Services through the participant-directed service delivery option are required to take the following trainings every two years. These trainings are developed by the State and available on the Home and Community Based Services Section website:

- Identifying and Reporting Abuse, Neglect, and Exploitation
- Roles and Responsibilities in Participant Direction
- Infection Control, Health, and Safety

All employees must receive training on the participant's specific needs, and how the participant wants to be supported. This training is conducted by the employer of record, and must be completed annually, or whenever a change is made to the person-centered service plan that would change service delivery expectations.

The Financial Management Services (FMS) Agency collects all required training documentation for participant-directed employees, and ensures that employees continue to meet training requirements.

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

Fiscal Employer Agent- Financial Management Service

**Frequency of Verification:**

The FMS verifies minimum provider qualifications upon hire and the agency does a quarterly audit on a representative sample of employment files.

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Companion Services**

**Provider Category:**

Agency

**Provider Type:**

Senior Center

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider, and is required to attain and maintain a certification for this service from the Division.

**Other Standard (specify):**

An agency determined as an eligible senior center in accordance with W.S. 9-2-1201(a)(iii) and overseen by the Wyoming Department of Health, Aging Division as credible and capable to receive grants for Older Americans Act services pursuant to W.S. 9-2-1204(a)(vii).

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Companion Services**

**Provider Category:**

Individual

**Provider Type:**

Independent Provider

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules and Regulations, sub-regulatory guidance, and the Medicaid Provider Agreement.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF will initially certify a new provider for one year. Renewal of that certification, which may include an on-site visit, will be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at the agency's discretion.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Other Service

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

**Service Title:**

Environmental Modification

**HCBS Taxonomy:**

**Category 1:**

14 Equipment, Technology, and Modifications

**Sub-Category 1:**

14020 home and/or vehicle accessibility adaptations

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Environmental Modification services include the installation of functionally necessary physical adaptations to the private residence of the participant or the participant's family, as outlined in the person-centered service plan, that are necessary to ensure the health, welfare, and safety of the participant in order for them to remain in their home instead of an institutional setting or to transition from an institutional setting. If transitioning from an institutional setting, this service may be authorized up to 180 consecutive calendar days in advance of the transition date. Adaptations include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or the installation of specialized electric and plumbing systems that are necessary to accommodate the medical equipment and supplies that are necessary for the

welfare of the participant.

If this service is provided to a participant transitioning into the community from an institutional setting, the modification will not be considered complete and cannot be billed for until the individual leaves the institution and is accepted onto the waiver.

An occupational or physical therapy assessment in the amount established in the Medicaid State Plan may be included in the service if the individual is transitioning to the community from an institution; assessments for participants who are currently living in the community must be paid through the Medicaid State Plan and are not allowable charges under this service.

All services shall be provided in accordance with applicable state and local building codes.

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

A lifetime cap of \$20,000 per family applies to this service.

Adaptations that add to the total square footage of the home are excluded from this benefit except when necessary to complete an adaptation (e.g., in order to improve the entrance or egress of a residence or to configure a bathroom to accommodate a wheelchair). Adaptations or improvements to the home that are of general utility and are not of direct medical or remedial benefit to the participant are excluded.

Modifications of rented or leased homes shall be extraordinary alterations that are uniquely needed by the individual, and for which the property owner would not ordinarily be responsible.

Adaptations that are covered by the Medicaid State Plan, a state independent living center, or Division of Vocational Rehabilitation are excluded. Case managers are required to contact Wyoming Medicaid to determine if the requested modification is covered under the Medicaid State Plan. The provider must then sign a third party verification form indicating that the Community Choices Waiver is the payer of last resort. Environmental Modifications shall not be furnished to modify settings that are owned or leased by providers of waiver services.

The case manager shall not obtain quotes until the overall scope of the project is approved by the Division.

The Division may use a third party to conduct an on-site visit to assess the proposed modification and need for the modification to ensure cost effectiveness.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Agency provider certified by the Division to provide the service
Individual	Individual provider certified by the Division to provide the service

**Appendix C: Participant Services**

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

**Service Type: Other Service**  
**Service Name: Environmental Modification**

**Provider Category:**

Agency

**Provider Type:**

Agency provider certified by the Division to provide the service

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

A provider of this service shall have the applicable building, electrical, plumbing, or contractor's license, as required by local and state regulations.

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider and present a current Certificate of Good Standing from the Wyoming Secretary of State.

**Other Standard (specify):**

A provider must obtain and maintain general liability insurance commensurate with the service. In addition, providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules, and requirements specified in the CCW Provider Manual and Medicaid Provider Agreement.

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

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

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

Individual

**Provider Type:**

Individual provider certified by the Division to provide the service

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

A provider of this service shall have the applicable building, electrical, plumbing, or contractor's license, as required by local and state regulations.

**Certificate (specify):**

A provider of this service must be enrolled as a Medicaid provider and present a current Certificate of Good Standing from the Wyoming Secretary of State.

**Other Standard (specify):**

A provider must obtain and maintain general liability insurance commensurate with the service. In addition, providers shall adhere to the standards and requirements of all applicable Wyoming Medicaid Rules, and requirements specified in the CCW Provider Manual and Medicaid Provider Agreement.

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

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

## Appendix C: Participant Services

### C-1/C-3: Service Specification

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

**Service Type:**

Other Service

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

**Service Title:**

Home-Delivered Meals

**HCBS Taxonomy:**

**Category 1:**

06 Home Delivered Meals

**Sub-Category 1:**

06010 home delivered meals

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Meal delivery service includes home or mail delivered meals to the home of the participant when the participant is unable to prepare a meal for him or herself and the individual regularly responsible for these activities is temporarily absent or unable to conduct these activities. Meals must meet the standards for the nutritional services delivered under Title III of the Older Americans Act.

Hot meals are defined as ready-to-eat meals that are delivered on a daily or semi-daily basis by the meal provider. If, during the course of delivering the meal the provider notes concerns with the participant's well-being, the provider must report the concerns to the participant's case manager and, if necessary, the Division as an incident.

Frozen meals are defined as meals that are prepared and packaged on a commercial basis, and delivered in bulk through a mail or delivery service.

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

This service is limited to two meals per day. Meals provided as part of these services shall not constitute a full nutritional regimen and are not intended to serve as the sole source of nutrition for the participant. If food insecurity is identified as a risk on the participant's assessment, the service plan must address how the participant's additional dietary needs are being met. Hot meals cannot replace or duplicate meals provided as part of another waiver service or meals for which the

participant has already paid as part of the room and board paid to a residential provider.  
 Providers must meet the standards established in the Community Choices Waiver agreement.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Commercial Food Service Operator
Agency	Older Americans Act Nutritional Services Provider

**Appendix C: Participant Services**

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

**Service Type: Other Service**  
**Service Name: Home-Delivered Meals**

**Provider Category:**

Agency

**Provider Type:**

Commercial Food Service Operator

**Provider Qualifications**

**License** (*specify*):

Providers must maintain a current food service license or permit from the state in which the commercial food service preparation facility is located and comply with all federal, state and local food service regulations.

**Certificate** (*specify*):

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

The provider must demonstrate the ability to procure, handle, store, prepare and deliver food under current federal, state and local food handling safety standards. Nutritional analysis and facility inspection records must be available upon request.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

**Appendix C: Participant Services**

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

Service Type: Other Service  
Service Name: Home-Delivered Meals

Provider Category:

Agency

Provider Type:

Older Americans Act Nutritional Services Provider

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

An agency overseen by the Wyoming Department of Health, Aging Division as credible and capable to receive grants for Older Americans Act nutritional services pursuant to W.S. 9-2-1204(a)(vii).

Verification of Provider Qualifications

Entity Responsible for Verification:

Wyoming Department of Health, Division of Healthcare Financing

Frequency of Verification:

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Non-Medical Transportation

HCBS Taxonomy:

Category 1:

15 Non-Medical Transportation

Sub-Category 1:

15010 non-medical transportation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

**Category 4:**

**Sub-Category 4:**



Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Non-Medical Transportation is offered in order to enable waiver participants to gain access to waiver and other community services, activities and resources, as specified by the service plan. This service is offered in addition to medical transportation required under 42 CFR §431.53 and transportation services under the Medicaid State Plan, defined at 42 CFR §440.170(a) (if applicable), and does not replace them. Transportation services under the waiver are offered in accordance with the participant's service plan. Whenever possible, family, neighbors, friends, or community agencies which can provide this service without charge will be utilized.

-The Public Transit Multi-Pass unit can be used to purchase multi-passes, one-way passes, and bus passes.

This service may be participant-directed.

Non-Medical Transportation services cannot be duplicated by transportation provided under Assisted Living Facility Services.

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

The reimbursement for this service is limited to a total of \$80.00 per month for the Public Transit Multi-Pass unit. The 15-minute unit is limited to a total of 4.5 hours per month.

Non-Medical Transportation may be participant-directed, but a participant-directed employee cannot work more than 40 hours per week. Services offered through participant-direction are only billable in 15-minute increments.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Individual	Participant-directed employee hired under the participant-direction service delivery option
Agency	Contract Motor Carrier
Agency	Senior Center
Agency	Public Transit Agency

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Non-Medical Transportation**

**Provider Category:**

Individual

**Provider Type:**

Participant-directed employee hired under the participant-direction service delivery option

**Provider Qualifications**

**License** (*specify*):

**Certificate** (*specify*):

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

The participant or the designated employer of record must be determined to meet the criteria for election of the participant-directed service option as described in Appendix E-1, and submit all necessary documentation to enroll as the employer of record with the contracted Financial Management Services (FMS) agency and the Division's fiscal agent.

All individuals employed under the participant-directed service delivery option must be at least 18 years of age and successfully complete the Division-sponsored training curriculum. The participant or designated employer of record may require that their employees meet additional training, education, or experience requirements.

Prior to providing services, an individual being hired by the participant shall:

- Be at least 18 years of age;
- Successfully pass a criminal history background screening;
- Provide proof of current and effective vehicle insurance and driver's license;
- Be able to effectively communicate with the participant and other stakeholders; and
- Be able to complete record keeping as required by the employer.

A participant's spouse can be hired as an employee if there is no evidence that demonstrates the spouse is authorized to make financial decisions on behalf of the participant. For a spouse to be hired to provide this service the participant must require care that exceeds the range of activities that a spouse would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization.

The employer of record, with assistance as needed from the case manager, shall verify that, prior to working alone with the participant, the individual being hired has received training on the participant's person-centered service plan and has received training on the following Division requirements:

- Participant choice;
- Recognizing abuse and neglect;
- Incident reporting;
- Participant rights and confidentiality;
- Emergency drills and situations; and
- Documentation standards.

Employees who are hired to provide Non-Medical Transportation through the participant-directed service delivery option are required to take the following trainings every two years. These trainings are developed by the State and available on the Home and Community-Based Services Section website:

- Identifying and Reporting Abuse, Neglect, and Exploitation
- Roles and Responsibilities in Participant Direction
- Infection Control, Health, and Safety

All employees must receive training on the participant's specific needs, and how the participant wants to be supported. This training is conducted by the employer of record, and must be completed annually, or whenever a change is made to the

person-centered service plan that would change service delivery expectations.

The Financial Management Services (FMS) Agency collects all required training documentation for participant-directed employees, and ensures that employees continue to meet training requirements.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

The contracted FMS agency verifies and maintains documentation of employment eligibility status, criminal history and background investigation, and required training.

The participant or designated employer of record must verify and maintain documentation of any additional qualifications.

The contracted FMS agency maintains a directory of individuals who are interested in additional employment opportunities under the participant-directed service delivery option.

**Frequency of Verification:**

The FMS verifies minimum provider qualifications upon hire and the agency does a quarterly audit on a representative sample of employment files.

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Non-Medical Transportation**

**Provider Category:**

Agency

**Provider Type:**

Contract Motor Carrier

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Must be a corporation, Limited Liability Company (LLC), non-profit organization, sole proprietorship, or other business entity registered in good standing with the Wyoming Secretary of State.

Must maintain intrastate operating authority as a contract motor carrier through the Wyoming Department of Transportation pursuant to W.S. 31-18-101(ii).

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

**Appendix C: Participant Services**

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

**Service Type: Other Service**

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**Service Name: Non-Medical Transportation**

---

**Provider Category:**

Agency

**Provider Type:**

Senior Center

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

An agency determined as an eligible senior center in accordance with W.S. 9-2-1201(a)(iii) and overseen by the Wyoming Department of Health, Aging Division as credible and capable to receive grants for Older Americans Act services pursuant to W.S. 9-2-1204(a)(vii).

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

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**Appendix C: Participant Services**

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

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**Service Type: Other Service**

**Service Name: Non-Medical Transportation**

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**Provider Category:**

Agency

**Provider Type:**

Public Transit Agency

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Must be a county, city, town, or other local government agency determined by the Wyoming Department of Transportation as eligible grantee to receive public transit funds in accordance with W.S. 24-15-101(a)(iii).

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

## Appendix C: Participant Services

### C-1/C-3: Service Specification

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

**Service Type:**

Other Service

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

**Service Title:**

Personal Emergency Response System (PERS)

**HCBS Taxonomy:**

**Category 1:**

14 Equipment, Technology, and Modifications

**Sub-Category 1:**

14010 personal emergency response system (PERS)

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Personal Emergency Response Systems (PERS) include electronic devices that are programmed to signal a response center once a help button is activated and enables the waiver participant to secure help in an emergency. PERS are limited to participants who demonstrate needs based on their person-centered service plan.

Monthly monitoring and maintenance fees include the equipment rental; access to a 24 hour response center monitored by live, professional staff; equipment testing and troubleshooting; responses to alerts and alarms; and documentation of communications with participants, caregivers, case managers, and first responders.

Installation fees are billed separately and include the delivery, installation, and activation of all necessary equipment as well as participant/caregiver education and training on equipment use.

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

PERS is limited to participants who demonstrate needs based on their person-centered service plan.

Reimbursement for installation is limited to a one-time fee per participant unless otherwise warranted by extenuating circumstances (e.g. the participant moves, a change in service provider, or lost/stolen devices). Reimbursement for installation fees for the repair or replacement of equipment may not be granted if it is determined that there has been abuse

or misuse of the equipment or if the repair or replacement is sought before the equipment's ordinary life cycle.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Personal Emergency Response System Vendor

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Personal Emergency Response System (PERS)**

**Provider Category:**

Agency

**Provider Type:**

Personal Emergency Response System Vendor

**Provider Qualifications**

**License** (specify):

**Certificate** (specify):

**Other Standard** (specify):

A corporation, limited liability corporation, non-profit organization, sole proprietorship, or other business entity registered in good standing with the Wyoming Secretary of State. The vendor must also produce documentation that the agency is an authorized dealer, supplier, or manufacturer of Personal Emergency Response Systems.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Other Service

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

**Service Title:**

Transition Intensive Case Management

**HCBS Taxonomy:**

**Category 1:**

01 Case Management

**Sub-Category 1:**

01010 case management

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**

**Category 4:**

**Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

**Service Definition (Scope):**

Transition Intensive Case Management is intended to assist individuals who are currently residing in nursing facilities who want to transition into the community. Transition Intensive Case Managers must perform activities necessary to arrange for the individual to live in the community, and support participants in coordinating and facilitating the purchase of one-time, non-recurring expenses necessary for the participant to establish a basic household upon transitioning from an institutional setting to a community living arrangement. Activities must be documented and must not overlap the scope of monthly monitoring services.

The payment for this service is only payable upon the participant's discharge from an institution and their proper enrollment in the CCW program.

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

This service is only available to participants during their transition to the community from an extended nursing facility stay, which is defined as ninety (90) or more consecutive calendar days. It is available to a participant once during their lifetime. Case managers may assist individuals with their community transition for no more than 180 consecutive calendar days while the individual is still residing in a nursing home.

Transition Intensive Case Management shall not overlap with the scope of other Case Management services; therefore, duplicate billing is not allowed. This service is billed in 15-minute unit increments and must not exceed 160 units (40 hours) per participant.

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

Participant-directed as specified in Appendix E

- Provider managed**
- Remote/via Telehealth**

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

- Legally Responsible Person**
- Relative**
- Legal Guardian**

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Case Management Agency
Individual	Independent Provider

## Appendix C: Participant Services

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

**Service Type: Other Service**

**Service Name: Transition Intensive Case Management**

**Provider Category:**

Agency

**Provider Type:**

Case Management Agency

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

**Other Standard (specify):**

Must be a County Public Health Nursing Agency designated by the Wyoming Department of Health, Public Health Division; or corporation, Limited Liability Company (LLC), non-profit organization, sole proprietorship, or other business entity registered in good standing with the Wyoming Secretary of State.

Case management agencies must ensure all case managers meet the training, education, experience, and conflict of interest requirements as described in Appendix D-1-a of this application. Case management agencies must maintain adequate administrative and staffing resources and emergency backup systems to deliver case management services in accordance with all state and federal requirements. Each case management agency must have internal mechanisms for assessing and managing the performance of each case manager. Should the case management agency fail to address case manager performance concerns to the Division's satisfaction, the Division may require retraining or other progressive disciplinary actions, up to and including termination of the case manager's status as a Community Choices Waiver program case manager.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years.

## Appendix C: Participant Services

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

**Service Type: Other Service**

**Service Name: Transition Intensive Case Management**

**Provider Category:**

Individual

**Provider Type:**

Independent Provider

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

An independent case manager is required to attain and maintain a certification for this service from DHCF.

**Other Standard (specify):**

An independent case manager must meet the requirements in Chapter 34 of Wyoming Medicaid Rules. An independent case manager must meet the training, education, experience, and conflict of interest requirements established in Appendix D-1-a of this Application.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

### Appendix C: Participant Services

#### C-1/C-3: Service Specification

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

**Service Type:**

Other Service

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

**Service Title:**

Transition Setup Expenses

**HCBS Taxonomy:**

**Category 1:**

16 Community Transition Services

**Sub-Category 1:**

16010 community transition services

**Category 2:**

**Sub-Category 2:**

**Category 3:**

**Sub-Category 3:**



**Category 4:**

**Sub-Category 4:**



Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

**Service Definition (Scope):**

Transition Setup Expenses are one-time, non-recurring expenses necessary for a participant to establish a basic household, and support the participant to transition to a community living arrangement from an extended nursing facility placement, which is defined as ninety (90) or more consecutive calendar days.

To access the Transition Setup, a participant must demonstrate:

- A need for the coordination and purchase of one-time, non-recurring expenses necessary for them to establish a basic household in the community;
- A health, safety, or institutional risk; and
- Verification that other services or resources are not available to meet the need.

Allowable setup expenses include:

- Security deposits that are required to obtain a lease on an apartment or home.
- Setup fees or deposits to access basic utilities or services (telephone, electricity, heat, and water).
- Services necessary for the individual's health and safety such as pest eradication or one-time cleaning prior to occupancy.
- Essential household furnishings required to occupy and use a community domicile, including furniture, window coverings, food preparation items, or bed or bath linens.
- Expenses incurred directly from the moving, transport, provision, or assembly of household furnishings.

Transition Setup services are available to individuals up to 180 consecutive calendar days in advance of the transition date and are to be billed after an individual transitions into the community and is enrolled in the CCW program.

Transition Setup services are to be furnished only to the extent they are reasonable and necessary as determined through the service plan development process. The service plan must clearly identify the need for the service by identifying that the person is unable to meet such an expense and the service cannot be obtained through other sources.

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

Transition Setup does not cover rental or mortgage expenses, ongoing food costs, regular utility charges, or items that are intended for purely diversional, recreational, or entertainment purposes. Transition Setup does not include payment for room and board. Equipment or other markups shall not be paid through this service.

Transition Setup must not exceed a total of \$2,500 per participant, unless otherwise authorized by the Division, and must be prior approved in the participant's service plan. The Division may authorize additional funds above the \$2,500 limit, not to exceed a total value of \$3,000, when it is demonstrated as a necessary expense to ensure the health, safety, and welfare of the participant.

Community transition services are to be furnished only to the extent they are reasonable and necessary as determined through the service plan development process. The service plan must clearly identify the need for the service by identifying that the person is unable to meet such an expense and the service cannot be obtained through other sources.

This service is only available to participants during their transition from an extended nursing facility stay to the community, and is available to a participant once during their lifetime. Transition services are not available to a participant who is

transitioning to a provider owned or controlled setting.

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

- Participant-directed as specified in Appendix E
- Provider managed
- Remote/via Telehealth

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

- Legally Responsible Person
- Relative
- Legal Guardian

**Provider Specifications:**

Provider Category	Provider Type Title
Agency	Case Management Agency
Individual	Independent Provider

**Appendix C: Participant Services**

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

**Service Type: Other Service**

**Service Name: Transition Setup Expenses**

**Provider Category:**

Agency

**Provider Type:**

Case Management Agency

**Provider Qualifications**

**License** (specify):

**Certificate** (specify):

**Other Standard** (specify):

Must be a County Public Health Nursing Agency designated by the Wyoming Department of Health, Public Health Division; or corporation, Limited Liability Company (LLC), non-profit organization, sole proprietorship, or other business entity registered in good standing with the Wyoming Secretary of State.

Case management agencies must ensure all case managers meet the training, education, experience, and conflict of interest requirements as described in Appendix D-1-a of this application. Case management agencies must maintain adequate administrative and staffing resources and emergency backup systems to deliver case management services in accordance with all state and federal requirements. Each case management agency must have internal mechanisms for assessing and managing the performance of each case manager. Should the case management agency fail to address case manager performance concerns to the Division's satisfaction, the Division may require retraining or other progressive disciplinary actions, up to and including termination of the case manager's status as a Community Choices Waiver program case manager.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be

conducted at least once every three (3) years.

## Appendix C: Participant Services

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

**Service Type: Other Service**

**Service Name: Transition Setup Expenses**

**Provider Category:**

Individual

**Provider Type:**

Independent Provider

**Provider Qualifications**

**License (specify):**

**Certificate (specify):**

An independent case manager is required to attain and maintain a certification for this service from DHCF.

**Other Standard (specify):**

An independent case manager must meet the requirements in Chapter 34 of Wyoming Medicaid Rules. An independent case manager must meet the training, education, experience, and conflict of interest requirements established in Appendix D-1-a of this Application.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

Wyoming Department of Health, Division of Healthcare Financing

**Frequency of Verification:**

DHCF shall initially certify a new agency providing this service for one year. Renewal of that certification shall be conducted at least once every three (3) years. DHCF has the authority to conduct an on-site visit when a concern is identified during a complaint, incident report, internal referral, or at DHCFs discretion.

## Appendix C: Participant Services

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

**b. Provision of Case Management Services to Waiver Participants.** Indicate how case management is furnished to waiver participants (*select one*):

- Not applicable** - Case management is not furnished as a distinct activity to waiver participants.
- Applicable** - Case management is furnished as a distinct activity to waiver participants.

*Check each that applies:*

- As a waiver service defined in Appendix C-3.** Do not complete item C-1-c.
- As a Medicaid state plan service under section 1915(i) of the Act (HCBS as a State Plan Option).** Complete item C-1-c.
- As a Medicaid state plan service under section 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.

- As a Medicaid state plan service under section 1945 and/or section 1945A of the Act (Health Homes Comprehensive Care Management). 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 and the requirements for their training on the HCBS settings regulation and person-centered planning requirements:

**d. Remote/Telehealth Delivery of Waiver Services.** Specify whether each waiver service that is specified in Appendix C-1/C-3 can be delivered remotely/via telehealth.

**No services selected for remote delivery**

## Appendix C: Participant Services

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### C-2: General Service Specifications (1 of 3)

**a. Criminal History and/or Background Investigations.** Specify the state's policies concerning the conduct of criminal history and/or background investigations of individuals who provide waiver services (select one):

- No. Criminal history and/or background investigations are not required.**
- Yes. Criminal history and/or background investigations are required.**

Specify: (a) the types of positions (e.g., personal assistants, attendants) for which such investigations must be conducted; (b) the scope of such investigations (e.g., state, national); and, (c) the process for ensuring that mandatory investigations have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid or the operating agency (if applicable):

(a) A criminal history and background investigation must be conducted for those employees, contractors, and volunteers who may have unsupervised direct contact with waiver participants in the regular course of their work delivering the following waiver services:

- Adult Day Services
- Assisted Living Facility Services
- Case Management
- Home Health Aide
- Homemaker
- Personal Support Services
- Respite
- Skilled Nursing
- Transition Intensive Case Management
- Companion Services
- Non-Medical Transportation

(b) The criminal history and background investigation includes the following screenings:

- United States Department of Health and Human Services, Office of Inspector General, List of Excluded Individuals/Entities Database search
- A national, name and social security based criminal history database screening
- United States Department of Justice, National Sex Offender Public Website search

The screening must confirm that the individual has not been excluded from federally-funded healthcare programs and has not been convicted or pleaded "no contest" to any crimes listed in Wyoming Statute Title 6, Chapter 2 (Offenses Against the Person) and Chapter 4 (Offenses Against Morals, Decency and Family).

(c) Medicaid reimbursement is not available for the above waiver services delivered by employees, contractors, and volunteers excluded from federally-funded healthcare programs or who have a criminal history including a barrier crime. Provider agencies must maintain employee files including documentation of successful criminal history and background investigation results. Employee files are periodically reviewed as part of the regulatory oversight activities conducted for agencies licensed or regulated by the Wyoming Department of Health, Aging Division. Case management agency employee files are periodically reviewed by the Division as part of regular quality and performance review activities. Service provider agencies may choose to exclude applicants for additional crimes not included on the Division's list of barrier crimes.

The contracted Financial Management Services (FMS) agency facilitates criminal history and background investigations for all individuals employed under the participant-directed service delivery option. The FMS verifies that the applicant/employee has not been excluded from federally-funded healthcare programs and does not have a criminal history including a barrier crime. Following this verification, the participant/designated employer of record is provided the criminal history and background investigation results and makes the hiring decision. The participant/designated employer of record may choose to exclude applicants for additional crimes not included on the Division's list of barrier crimes. The FMS agency maintains employee files including documentation of successful criminal history and background investigation results, and these files are subject to periodic reviews conducted as part of the Division's contractor oversight activities.

Provider agencies and participants/designated employers of record under the participant-directed service delivery option may choose to permit individuals to begin delivering waiver services pending the results of the criminal history and background investigation if that individual has signed an attestation affirming that he/she has not been convicted of, has not pleaded "no contest" to, and does not have a pending deferred prosecution of any barrier crime.

DHCF requires a full subsequent background screening every 5 years. Providers must, on a routine basis, ensure that employees are not included on the OIG List of Excluded Individuals/Entities. Additionally, the FMS must, on a routine basis, ensure that employers of record and participant-directed employees are not included on the OIG List of Excluded Individuals/Entities.

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

- No. The state does not conduct abuse registry screening.
- Yes. The state maintains an abuse registry and requires the screening of individuals through this registry.

Specify: (a) the entity (entities) responsible for maintaining the abuse registry; (b) the types of positions for which abuse registry screenings must be conducted; (c) the process for ensuring that mandatory screenings have been conducted; and (d) the process for ensuring continuity of care for a waiver participant whose service provider was added to the abuse registry. 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):

(a) The Central Registry of Abuse and Neglect is maintained by the Wyoming Department of Family Services.

(b) A Central Registry check must be conducted for those employees, contractors, and volunteers who may have unsupervised direct contact with waiver participants in the regular course of their work delivering the following waiver services:

- Adult Day Services
- Assisted Living Facility Services
- Case Management
- Home Health Aide
- Homemaker
- Personal Support Services
- Respite
- Skilled Nursing
- Transition Intensive Case Management
- Companion Services
- Non-Medical Transportation

(c) Medicaid reimbursement is not available for the above waiver services delivered by employees, contractors, who have been substantiated by the Wyoming Department of Family Services for abuse and/or neglect. Provider agencies must maintain employee files including documentation of successful Central Registry check results. Employee files are periodically reviewed as part of the regulatory oversight activities conducted for agencies licensed or regulated by the Wyoming Department of Health, Aging Division. Case management agency employee files are periodically reviewed by the Division as part of regular quality and performance review activities.

The contracted Financial Management Services (FMS) agency facilitates Central Registry checks for individuals employed under the participant-directed service delivery option. The FMS verifies that the applicant/employee is not included on the Central Registry. Following this verification, the participant/designated employer of record is provided the Central Registry check results and makes the hiring decision. The FMS agency maintains employee files including documentation of successful criminal history and background investigation results, and these files are subject to periodic reviews conducted as part of the Division's contractor oversight activities.

DHCF requires a subsequent central registry check be conducted every 5 years.

## Appendix C: Participant Services

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

**Note: Required information from this page is contained in response to C-5.**

## Appendix C: Participant Services

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

**d. Provision of Personal Care or Similar Services by Legally Responsible Individuals.** A legally responsible individual is any person who has a duty under state law or regulations to care for another person (e.g., the parent (biological or

adoptive) of a minor child or the guardian of a minor child who must provide care to the child). At the option of the state and under extraordinary circumstances specified by the state, payment may be made to a legally responsible individual for the provision of personal care or similar services. *Select one:*

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

Specify: (a) the types of legally responsible individuals who may be paid to furnish such services and the services they may provide; (b) the method for determining that the amount of personal care or similar services provided by a legally responsible individual is "*extraordinary care*", exceeding the ordinary care that would be provided to a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization; (c) the state policies to determine that the provision of services by a legally responsible individual is in the best interest of the participant; (d) the state processes to ensure that legally responsible individuals who have decision-making authority over the selection of waiver service providers use substituted judgement on behalf of the individual; (e) any limitations on the circumstances under which payment will be authorized or the amount of personal care or similar services for which payment may be made; (f) any additional safeguards the state implements when legally responsible individuals provide personal care or similar services; and, (g) the procedures that are used to implement required state oversight, such as ensuring that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 the personal care or similar services for which payment may be made to legally responsible individuals under the state policies specified here.*

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

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

Specify the types of relatives/legal guardians to whom payment may be made, the services for which payment may be made, the specific circumstances under which payment is made, and the method of determining that such circumstances apply. Also specify any limitations on the amount of services that may be furnished by a relative or legal guardian, and any additional safeguards the state implements when relatives/legal guardians provide waiver services. Specify the state policies to determine that that the provision of services by a relative/legal guardian is in the best interests of the individual. When the relative/legal guardian has decision-making authority over the selection of providers of waiver services, specify the state's process for ensuring that the relative/legal guardian uses substituted judgement on behalf of the individual. Specify the procedures 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.*

A relative or spouse of a participant may be reimbursed for Personal Support Services, Adult Day Services, Respite, Homemaker Services, Companion Services, and Non-Medical Transportation delivered under the participant directed service delivery option. The relative or spouse must meet all qualifications specified in Appendix C1/C3 and may not be a legal guardian or designated employer of record for the participant. A participant's spouse can be hired as an employee if there is evidence that demonstrates the spouse is not authorized to make financial decisions on behalf of the participant.

In accordance with the provisions of the 21st Century Cures Act, Electronic Visit Verification (EVV) is required for all participant-directed services to ensure payments are made only for services rendered. The employee and participant/designated employer of record must sign an attestation affirming the veracity of the information included on each EVV shift and that the shift is an accurate representation of services rendered. Misrepresentation or false statements may result in disciplinary actions up to or including involuntary termination from the participant-directed service delivery option and criminal prosecution.

Services are provided in accordance with the plan of care and receive prior authorization. Services provided by relatives are limited by the service limitations. EVV captures all log in and log out times for services provided during the time when services are provided. Safeguards for participant direction follow the same safeguards outlined in appendix E. The participants case manager is required to do monthly checks to ensure the health and safety of the participant.

DHCF recognizes that there are certain circumstances in which paying a relative to provide essential waiver services is the most efficient, cost effective, and beneficial to participants. These circumstances may include:

- A lack of available non-related providers in remote geographic regions that can furnish services at necessary times and places;
- A participant's extraordinary care needs; or
- The need for specialized medical skills acquired by relatives.

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

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

- **Other policy.**

Specify:

- f. Open Enrollment of Providers.** Specify the processes that are employed to assure that all willing and qualified providers have the opportunity to enroll as waiver service providers as provided in 42 CFR § 431.51:

Any institution, agency, person, or organization may submit an application to enroll as a waiver service provider through an online portal. Applicants are screened by the Division and/or its agent against the qualifications specified in Appendix C-1/C-3 of this waiver application. Applicants are notified of the approval/disapproval of the provider application or any additional information required by the Division or its agent. Service providers qualified by the Division and/or its agent are enrolled without restriction upon execution of a Medicaid Provider Agreement. Applicants denied enrollment are provided with a notice of rights to request a reconsideration and/or fair hearing in accordance with Chapter 4 of the Rules and Regulations for Medicaid.

- g. State Option to Provide HCBS in Acute Care Hospitals in accordance with Section 1902(h)(1) of the Act.** Specify whether the state chooses the option to provide waiver HCBS in acute care hospitals. *Select one:*

- No, the state does not choose the option to provide HCBS in acute care hospitals.
- Yes, the state chooses the option to provide HCBS in acute care hospitals under the following conditions. By checking the boxes below, the state assures:
  - The HCBS are provided to meet the needs of the individual that are not met through the provision of acute care hospital services;
  - The HCBS are in addition to, and may not substitute for, the services the acute care hospital is obligated to provide;
  - The HCBS must be identified in the individual's person-centered service plan; and
  - The HCBS will be used to ensure smooth transitions between acute care setting and community-based settings and to preserve the individual's functional abilities.

And specify: (a) The 1915(c) HCBS in this waiver that can be provided by the 1915(c) HCBS provider that are not duplicative of services available in the acute care hospital setting; (b) How the 1915(c) HCBS will assist the individual in returning to the community; and (c) Whether there is any difference from the typically billed rate for these HCBS provided during a hospitalization. If yes, please specify the rate methodology in Appendix I-2-a.

## Appendix C: Participant Services

### Quality Improvement: Qualified Providers

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

#### a. Methods for Discovery: Qualified Providers

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

##### i. Sub-Assurances:

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

##### Performance Measures

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

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

##### Performance Measure:

**C.a1.2 Number and Percent of providers that continually met licensing and/or certification standards prior to delivering services. Numerator: Number of providers that continually met licensing and/or certification standards prior to delivering services. Denominator: Total number of providers that require licensure and/or certification.**

Data Source (Select one):

**Other**

If 'Other' is selected, specify:

**Provider management information system**

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

Data Aggregation and Analysis:

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

<b>Responsible Party for data aggregation and analysis</b> <i>(check each that applies):</i>	<b>Frequency of data aggregation and analysis</b> <i>(check each that applies):</i>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**C.a1.1 Number and Percent of providers that initially met licensing and/or certification standards prior to delivering services. Numerator: Number of providers that initially met licensing and/or certification standards prior to delivering services. Denominator: Total number of providers that require a licensure and/or certification.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Provider management information system**

<b>Responsible Party for data collection/generation</b> <i>(check each that applies):</i>	<b>Frequency of data collection/generation</b> <i>(check each that applies):</i>	<b>Sampling Approach</b> <i>(check each that applies):</i>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis ( <i>check each that applies</i> ):	Frequency of data aggregation and analysis( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

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

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

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

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

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

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

**Performance Measure:**

**C.c1 Number and Percent of case managers that have completed all required training prior to delivering services and as periodically required thereafter. Numerator: Number of case managers that have completed all required training prior to delivering services and as periodically required thereafter. Denominator: Total number of case managers.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Provider management information system**

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

	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	
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**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis ( <i>check each that applies</i> ):	Frequency of data aggregation and analysis( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

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

**b. Methods for Remediation/Fixing Individual Problems**

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

Individual deficiencies identified through regular monitoring activities or through waiver performance measures are remediated by the Division staff through the provision of technical assistance, the imposition of a corrective action or sanction, referrals to the appropriate regulatory/law enforcement agencies, and/or the suspension or termination of a Medicaid provider agreement.

In accordance with CMS guidance issued March 12, 2014, any performance measure with less than an 86% success rate warrants further analysis to determine the cause. The Division conducts a root cause analysis to identify contributing factors and determine underlying causes of deficiency for any measure with less than an 86% success rate. Based upon the findings of the root cause analysis, the Division may initiate a Quality Improvement Project (QIP). The QIP includes, at minimum:

- A description of remedial actions to be taken (e.g. training, revised policies/procedures, additional staff, different staffing patterns, provider/vendor corrective action);  
 - A timeline of remedial actions to be taken;  
 - The individuals responsible for effectuating remedial actions; and,  
 - The frequency with which performance/compliance is measured.

The HCBS Quality Improvement Committee assures accountability to the Division's stakeholders and provides oversight of quality improvement activities, including regular monitoring of QIP effectiveness.

**ii. Remediation Data Aggregation**

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

Responsible Party( <i>check each that applies</i> ):	Frequency of data aggregation and analysis ( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**c. Timelines**

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

- No
- Yes

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

**Appendix C: Participant Services**

**C-3: Waiver Services Specifications**

Section C-3 'Service Specifications' is incorporated into Section C-1 'Waiver Services.'

**Appendix C: Participant Services**

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

**a. Additional Limits on Amount of Waiver Services.** Indicate whether the waiver employs any of the following additional limits on the amount of waiver services (*select one*).

- Not applicable-** The state does not impose a limit on the amount of waiver services except as provided in Appendix

C-3.

- **Applicable** - The state imposes additional limits on the amount of waiver services.

When a limit is employed, specify: (a) the waiver services to which the limit applies; (b) the basis of the limit, including its basis in historical expenditure/utilization patterns and, as applicable, the processes and methodologies that are used to determine the amount of the limit to which a participant's services are subject; (c) how the limit will be adjusted over the course of the waiver period; (d) provisions for adjusting or making exceptions to the limit based on participant health and welfare needs or other factors specified by the state; (e) the safeguards that are in effect when the amount of the limit is insufficient to meet a participant's needs; (f) how participants are notified of the amount of the limit. *(check each that applies)*

- Limit(s) on Set(s) of Services.** There is a limit on the maximum dollar amount of waiver services that is authorized for one or more sets of services offered under the waiver.  
*Furnish the information specified above.*

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

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

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

## Appendix C: Participant Services

### C-5: Home and Community-Based Settings

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

1. Description of the settings in which 1915(c) HCBS are received. *(Specify and describe the types of settings in which waiver services are received.)*

All Community Choices Waiver services are provided in the participant's home and community. Specific setting types include all residential and non-residential settings, and include the following services, which are re-assessed during regular provider certification renewals: Adult Day Services, Companion Services, Homemaker, Personal Support Services, Home Health Aide, Skilled Nursing, and Assisted Living Facility Services.

Services may be provided in residential or nonresidential settings. Residential settings include: the participant's home, which may include assisted living facilities and privately owned or rented residences. Nonresidential settings include: adult day facilities, facility based day services, senior centers, and community settings.

Settings in which HCBS are provided comport with standards applicable to HCBS settings delivered under Section 1915(c) of the Social Security Act, including those requirements applicable to provider-owned or controlled settings. Exceptions to these requirements are made only when supported by the participant's assessed need and specified in the person-centered service plan.

The Wyoming Department of Health, Division of Healthcare Financing is the state agency responsible for reviewing initial and ongoing compliance with the HCBS settings rule for each setting type.

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 in the future as part of ongoing monitoring. *(Describe the process that the state will use to assess each setting including a detailed explanation of how the state will perform on-going monitoring across residential and non-residential settings in which waiver HCBS are received.)*

Participant goals and objectives, along with needed supports and progress made, are established through the person-centered planning process and documented in the participant's person-centered service plan. The person-centered planning process addresses the participant's opportunity to seek employment and work in competitive integrated settings, engage in community life, and control personal resources, based on their needs and preferences. Services are provided in a manner that ensures the participant's right to privacy, dignity, respect, and freedom from coercion and restraint, and optimize individual initiative, autonomy, and independence in making life choices.

Each provider must complete certification to become a Community Choices Waiver provider. This certification process ensures the provider's initial compliance with the federal HCBS Settings Rule, and is repeated every one to three years to ensure ongoing compliance. Additionally, HCBS Settings Rule language is included in Wyoming Medicaid rules that govern the Community Choices Waiver program.

Case managers review participant satisfaction each month, and conduct service observations along with monthly in-person meetings to ensure services are delivered in alignment with the participant's person-centered service plan, are non-institutional in nature, and are consistent with the requirements and objectives of the HCBS Settings Rule. Monthly monitoring and in-person visits include both provider owned or controlled settings as well as those individually owned where services are provided. An assessment of participant experience is conducted as part of the National Core Indicators Adult In-Person Survey. This survey measures experience data such as the participant's level of awareness of and access to rights provided in the HCBS Settings Rule, freedom to make informed decisions, community integration, privacy and confidentiality, and other individual experience expectations outlined in the HCBS Settings Rule.

DHCF reviews all incidents and complaints, and conducts investigations as necessary to address concerns related to abuse, neglect, exploitation, and rights restrictions. All rights restrictions must be designed and approved in accordance with Chapter 34 of Wyoming Medicaid Rules and the HCBS Settings Rule. If the restriction has not gone through the modification process and is not supported in the participant's person-centered service plan, DHCF works with the participant's case manager and plan of care team to mitigate the concern.

3. By checking each box below, the state assures that the process will ensure that each setting will meet each requirement:

- 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 setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board. (see Appendix D-1-d-ii)

- Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.
- 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.
- Facilitates individual choice regarding services and supports, and who provides them.
- Home and community-based settings do not include a nursing facility, an institution for mental diseases, an intermediate care facility for individuals with intellectual disabilities, a hospital; or any other locations that have qualities of an institutional setting.

**Provider-owned or controlled residential settings.** (Specify whether the waiver includes provider-owned or controlled settings.)

- No, the waiver does not include provider-owned or controlled settings.
- Yes, the waiver includes provider-owned or controlled settings. (By checking each box below, the state assures that each setting, in addition to meeting the above requirements, will meet the following additional conditions):
  - The unit or dwelling is a specific physical place that can be owned, rented, or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the state, county, city, or other designated entity. For settings in which landlord tenant laws do not apply, the state must ensure that a lease, residency agreement or other form of written agreement will be in place for each HCBS participant, and that the document provides protections that address eviction processes and appeals comparable to those provided under the jurisdiction's landlord tenant law.
  - Each individual has privacy in their sleeping or living unit:
    - Units have entrance doors lockable by the individual.
    - Only appropriate staff have keys to unit entrance doors.
    - Individuals sharing units have a choice of roommates in that setting.
    - Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.
  - Individuals have the freedom and support to control their own schedules and activities.
  - Individuals have access to food at any time.
  - Individuals are able to have visitors of their choosing at any time.
  - The setting is physically accessible to the individual.
  - Any modification of these additional conditions for provider-owned or controlled settings, under § 441.301(c)(4)(vi)(A) through (D), must be supported by a specific assessed need and justified in the person-centered service plan(see Appendix D-1-d-ii of this waiver application).

## Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Service Plan

- 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. Given the importance of the role of the person-centered service plan in HCBS provision, the qualifications should include the training or competency requirements for the HCBS settings criteria and person-centered service plan development. (Select each that applies):

- Registered nurse, licensed to practice in the state

- Licensed practical or vocational nurse, acting within the scope of practice under state law
- Licensed physician (M.D. or D.O)
- Case Manager (qualifications specified in Appendix C-1/C-3)
- Case Manager (qualifications not specified in Appendix C-1/C-3).

*Specify qualifications:*

Case managers must be employed or contracted by a qualified case management agency and must have:

- (1) A master's degree from an accredited college or university in human services, social services or a related field of study;
- (2) A bachelor's degree from an accredited college or university in human services, social services, or a related field of study and one year of related work experience in human or social services; or
- (3) An associate's degree from an accredited college or university in human services, social services, or a related field of study and four years of related work experience in human or social services.

A case manager employed by a case management agency prior to July 1, 2016 may continue to provide case management services, without meeting the above criteria, as long as the case manager has a high school diploma or high school equivalency certificate and six years of experience as a case manager.

Prior to conducting service planning and case management activities and periodically thereafter, case managers must demonstrate requisite knowledge, skills, and abilities through successful completion of the Division-sponsored case management training curriculum.

The case management agency and case manager responsible for the development of the participant's service plan must meet the following conflict of interest standards:

- (1) The case manager must not be related by blood or marriage to the participant, or to any person paid to provide Medicaid home and community-based services to the participant;
- (2) The case manager must not share a residence with the participant or with any person paid to provide Medicaid home and community-based services to the participant;
- (3) The case manager/case management agency must not be financially responsible for the participant;
- (4) The case manager/case management agency must not be empowered to make financial or health-related decisions on behalf of the participant; and
- (5) The case manager/case management agency must not own, operate, be employed by, or have a financial interest in any entity that is paid to provide Medicaid home and community-based services to the participant. Financial interest includes a direct or indirect ownership or investment interest and/or any direct or indirect compensation arrangement.

- Social Worker  
*Specify qualifications:*

- Other  
*Specify the individuals and their qualifications:*

## Appendix D: Participant-Centered Planning and Service Delivery

### D-1: Service Plan Development (2 of 8)

**b. Service Plan Development Safeguards.** Providers of HCBS for the individual, or those who have interest in or are employed by a provider of HCBS; are not permitted to have responsibility for service plan development except, at the option of the state, when providers are given responsibility to perform assessments and plans of care because such individuals are the only willing and qualified entity in a geographic area, and the state devises conflict of interest protections. *Select one:*

- Entities and/or individuals that have responsibility for service plan development may not provide other direct waiver services to the participant.**
- Entities and/or individuals that have responsibility for service plan development may provide other direct waiver services to the participant. Explain how the HCBS waiver service provider is the only willing and qualified entity in a geographic area who can develop the service plan:**

*(Complete only if the second option is selected)* The state has established the following safeguards to mitigate the potential for conflict of interest in service plan development. *By checking each box, the state attests to having a process in place to ensure:*

- Full disclosure to participants and assurance that participants are supported in exercising their right to free choice of providers and are provided information about the full range of waiver services, not just the services furnished by the entity that is responsible for the person-centered service plan development;**
- An opportunity for the participant to dispute the state's assertion that there is not another entity or individual that is not that individual's provider to develop the person-centered service plan through a clear and accessible alternative dispute resolution process;**
- Direct oversight of the process or periodic evaluation by a state agency;**
- Restriction of the entity that develops the person-centered service plan from providing services without the direct approval of the state; and**
- Requirement for the agency that develops the person-centered service plan to administratively separate the plan development function from the direct service provider functions.**

## Appendix D: Participant-Centered Planning and Service Delivery

### D-1: Service Plan Development (3 of 8)

**c. Supporting the Participant in Service Plan Development.** Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

(a) At the time of application for the waiver program, participants are provided with an informational handout, either electronically or on paper based on participant preference, on the range of services and supports offered through the waiver and a list of approved case management agencies serving the participant's county of residence. Upon enrollment in the waiver program, the participant's assigned case manager uses a person-centered planning approach to facilitate service plan development as described in Appendix D-1-d. Case managers provide and explain participant materials, including a participant welcome packet/handbook containing:

- Program overview
- Participation agreement
- Introduction to person-centered planning
- Participant rights and responsibilities
- Information on freedom of choice between institutional care and waiver services, among all feasible service alternatives within the waiver, and among all willing and qualified service providers.

(b) The participant (and/or legal representative, as appropriate) is afforded the authority to determine who is included and/or excluded from the service plan development process.

## Appendix D: Participant-Centered Planning and Service Delivery

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### D-1: Service Plan Development (4 of 8)

- d. i. 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; (g) how and when the plan is updated, including when the participant's needs changed; (h) how the participant engages in and/or directs the planning process; and (i) how the state documents consent of the person-centered service plan from the waiver participant or their legal representative. 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):

(a) At the time of application for the waiver program, the participant selects a case management agency from a list of approved agencies serving the participant's county of residence. Upon enrollment in the waiver program, the case manager facilitates a person-centered service plan development process. Within five business days following participant enrollment approval, the case manager must contact the participant (and/or legal representative, as appropriate) to initiate the service planning process and to schedule the service plan meeting. The case manager, the participant, and any other individuals freely chosen by the participant may participate in the service plan development process. Prior to the service plan meeting, the case manager gathers information on the language needs, any cultural considerations, the individuals to be included in the service plan development process, and the potential times and locations for the meeting. The case manager must schedule the service plan meeting at a time and location convenient to the participant and, when applicable, others included in the service plan development process.

(b) The Division uses a preplanning assessment to support the service plan development process and to establish standardized methods for gathering all necessary information on participant needs, preferences, goals, and overall health status.

The Participant Profile assessment is used to gather basic information on the participant's background, family/natural support system, home environment, participation in the community, interest in participant-directed service options, and overall health status. The participant profile assessment is also designed to build rapport with the participant; to identify participant strengths, preferences, support needs, and potential risk factors; and to facilitate meaningful goal development using a series of open-ended questions and guided conversation techniques.

(c) Case managers provide an informational handout including a list of all services and service delivery options available under the waiver and explaining the key features of the program. Case managers are required to present and explain the participant's choice between community-based and institutional care options and among all feasible service alternatives within the waiver.

(d) The case manager summarizes the information gathered through the Participant Profile assessment and confirms there is agreement among all individuals participating in the service plan development process on the goals, strengths, preferences, needs, and risks to be addressed by the service plan. The participant is encouraged and supported to direct the service planning process to the maximum extent possible. The case manager provides information and options, counseling as needed, to facilitate discussion among the individuals participating in the service plan development process and to assist the participant in determining which services and supports will be included in the service plan.

The service plan focuses primarily on the services available through the waiver, but may include additional services and supports available through the Medicaid State Plan; other federal, state, and local public programs; the participant's family/natural support system; and/or any other relevant community resource.

For each service and support to be included in the service plan, the case manager drafts a brief description of the tasks to be performed by the service/support provider and documents the specific needs, preferences, and goals to be addressed by that service/support. For each waiver service, the case manager considers the scope of the covered benefit, prior authorization review requirements, and any applicable service limits to recommend service frequency and duration in accordance with the participant's assessed needs and preferences.

The case manager is responsible for the development of a comprehensive service plan which reasonably assures the health and welfare of the participant; acknowledges participant's strengths; promotes the participant's self-determined goals; addresses all of the participant's assessed needs; includes a plan to mitigate all identified risks, and accommodates participant preferences to the extent possible within the established service limitations and the availability of local resources. Person-centered service plans include the setting options that are based on the individual's needs, preferences, and, for residential settings, non-waiver resources available for room and board.

(e) The case manager coordinates all services and supports included in the service plan. For each waiver service, the case manager must submit a referral to the participant's chosen service provider. This referral includes the specific service requested, a brief description of the tasks to be performed by the service provider, the requested service frequency and duration, and any other relevant information regarding the participant's specific needs and preferences.

The waiver service provider is required to review the services requested by the participant and indicate whether the

provider accepts, declines, or accepts with modification (e.g. the participant prefers a male caregiver, but the service provider only has a female caregiver available). The case manager must confirm the participant's acceptance of any modifications proposed by the service provider. The case manager facilitates the participant's selection of an alternate provider and/or service alternative for any declined referrals or for modifications not accepted by the participant.

The case manager conducts additional referral and outreach activities as necessary to confirm availability and coordinate the delivery of non-waiver services and supports included in the service plan.

(f) The case manager submits service referrals through the Wyoming Health Provider (WHP) portal referral process and obtains electronic acceptance of the service referral from each individual/provider responsible for service plan implementation. The case manager obtains the participant's and/or legally authorized representative's agreement and informed consent and submits the service plan for the Division's review and finalization through the Division's case management information system. Service plans are screened through an automated review process and may be subject to a manual review by Division staff, then are finalized in the case management information system.

Upon service plan finalization, a copy of the service plan will be provided to the participant and legally authorized representative, if applicable. Information necessary for each provider to coordinate, provide, and be reimbursed for waiver services is contained within the service referral in the Care and Case Management System. The case manager is responsible for monitoring service plan implementation.

(g) The service plan must be reviewed and updated at least annually but may be reviewed more frequently upon request by the participant or in response to a significant change in the participant's condition or circumstances.

The case manager, the participant, and any other individuals freely chosen by the participant may participate in the service plan review and update process. The case manager facilitates a discussion among the individuals participating in the service plan review process to confirm/update the participant's assessed needs, preferences, goals, and overall health status and to identify any necessary modifications to the participant's existing service plan. The case manager may conduct a new Participant Profile assessment as needed to document changes in the participant's condition or circumstances. Modifications to the service plan are made and the services and supports are coordinated in accordance with the initial service plan development processes described above.

The case manager assigns responsibility for implementation of the updated service plan and obtains electronic acceptance of the modification of the service referral from each individual/provider, as necessary, through the identified provider referral process. The case manager obtains the participant's documented agreement and informed consent and submits the updated service plan for finalization through the Division's case management information system. Service plans are screened through an automated review process and may be subject to a manual review by Division staff, then are finalized in the case management information system. The case manager is responsible for monitoring the implementation of the updated service plan.

When the service plan development process results in an individual being denied the services of their choice or the providers of their choice, the state must afford the individual the opportunity to request a fair hearing in accordance with 42 CFR § 431, Subpart E.

ii. HCBS Settings Requirements for the Service Plan. *By checking these boxes, the state assures that the following will be included in the service plan:*

- The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.**
- For provider owned or controlled settings, any modification of the additional conditions under 42 CFR § 441.301(c)(4)(vi)(A) through (D) must be supported by a specific assessed need and justified in the person-centered service plan and the following will be documented in the person-centered service plan:**
  - A specific and individualized assessed need for the modification.**
  - Positive interventions and supports used prior to any modifications to the person-centered service plan.**
  - Less intrusive methods of meeting the need that have been tried but did not work.**
  - A clear description of the condition that is directly proportionate to the specific assessed need.**
  - Regular collection and review of data to measure the ongoing effectiveness of the modification.**

- Established time limits for periodic reviews to determine if the modification is still necessary or can be terminated.
- Informed consent of the individual.
- An assurance that interventions and supports will cause no harm to the individual.

## Appendix D: Participant-Centered Planning and Service Delivery

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### D-1: Service Plan Development (5 of 8)

- e. Risk Assessment and Mitigation.** Specify how potential risks to the participant are assessed during the service plan development process and how strategies to mitigate risk are incorporated into the service plan, subject to participant needs and preferences. In addition, describe how the service plan development process addresses backup plans and the arrangements that are used for backup.

Case managers must create a risk mitigation plan for all potential risks identified by the Participant Profile assessment during the service plan development process. The case manager facilitates a conversation among all individuals participating in service plan development to identify strategies to mitigate risk and to reasonably assure the health and welfare of the participant.

The service plan must include a backup plan or identify an alternate service or support to ensure the continuity of critical waiver services, e.g. personal support services or skilled nursing services. The arrangements that are used for backup are tailored to the participant's needs, preferences, and available resources. Backup arrangements may include, but are not limited to, seeking temporary assistance from a member of the participant's natural support network, contacting the provider agency for assignment of an on-call or alternate caregiver, contacting the case manager to coordinate delivery of an alternate service or support, and employing an on-call or alternate caregiver under the participant-directed service delivery option.

## Appendix D: Participant-Centered Planning and Service Delivery

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### D-1: Service Plan Development (6 of 8)

- f. Informed Choice of Providers.** Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

At the time of application for the waiver program, participants are provided with an informational handout on the range of services and supports offered through the waiver and a list of approved case management agencies serving the participant's county of residence. Upon enrollment in the waiver program, the participant's assigned case manager uses a person-centered planning approach to facilitate service plan development as described in Appendix D-1-d.

Case managers must provide a list of all enrolled providers serving the participant's county of residence. The participant's case manager must disclose any ownership, affiliation, or financial interest in any entity enrolled to provide Medicaid home and community-based services. The participant must be afforded the option to receive case management services from another agency or choose to receive services from a provider without conflict of interest.

The service plan includes an explanation of the participant's (and/or legal representative's, as appropriate) rights and responsibilities, including the right to exercise freedom of choice among all willing and qualified service providers. The service plan is agreed to with the informed consent of the participant and signed by all individuals and providers responsible for its implementation.

## Appendix D: Participant-Centered Planning and Service Delivery

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### D-1: Service Plan Development (7 of 8)

- g. Process for Making Service Plan Subject to the Approval of the Medicaid Agency.** Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR § 441.301(b)(1)(i):

The participant signs and initials a list of questions on the CCW participant agreement. One of the questions specifically states, "I participated in a person-centered planning process". This form must be uploaded into the Care Case Management System before the service plan can be submitted. The case manager submits the service plan and any subsequent service plan updates for the Division's approval and finalization through the Division's case management information system. Service plans are screened through an automated review process and may be subject to a manual review by Division staff. Once approved by the Division, service plan is finalized in the case management information system and can be reviewed by Division staff at any time.

**Appendix D: Participant-Centered Planning and Service Delivery**

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

**h. Service Plan Review and Update.** The service plan is subject to at least annual periodic review and update, when the individual's circumstances or needs change significantly, or at the request of the individual, to assess the appropriateness and adequacy of the services as participant needs change. Specify the minimum schedule for the review and update of the service plan:

- Every three months or more frequently when necessary
- Every six months or more frequently when necessary
- Every twelve months or more frequently when necessary
- Other schedule

*Specify the other schedule:*

**i. Maintenance of Service Plan Forms.** Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR § 92.42. Service plans are maintained by the following (*check each that applies*):

- Medicaid agency
- Operating agency
- Case manager
- Other

*Specify:*

**Appendix D: Participant-Centered Planning and Service Delivery**

**D-2: Service Plan Implementation and Monitoring**

**a. Service Plan Implementation and Monitoring.** Specify: (a) the entity (entities) responsible for monitoring the implementation of the service plan, participant health and welfare, and adherence to the HCBS settings requirements under 42 CFR §§ 441.301(c)(4)-(5); (b) the monitoring and follow-up method(s) that are used; and, (c) the frequency with which monitoring is performed.

(a) The case manager is responsible for monitoring service plan implementation and the participant's ongoing health and welfare.

(b)&(c) Case managers must conduct monthly service plan monitoring activities in order to identify any changes in the participant's condition or circumstances, screen for any potential risks or concerns, assess the participant's (and/or legal representative's, as appropriate) satisfaction with services and supports, to include access to waiver services identified in the service plan. Monthly service plan monitoring activities include evaluating the effectiveness of the service plan and risk mitigation plan in meeting the participant's needs, and to ensure services, and non-waiver services are delivered and accessed in accordance with the service plan.

Face-to-face service plan monitoring visits must be conducted at least monthly. Case managers must conduct service plan monitoring visits at a time that is convenient to the participant.

Monthly service plan monitoring activities must be documented in the Division's case management information system within five business days, and the case manager may be required to review and update the participant's service plan in response to any significant changes in condition or circumstances as described in Appendix D-1-d or as needed to implement backup plans and to ensure free choice of providers. Service utilization data is available in the Division's case management information system as claims are submitted and reimbursed. Case managers monitor service utilization data and compare against the authorized amounts to identify any potential problems with service access or delivery and may follow up with service providers as necessary to support service plan implementation. The case management information system is used to compile and compare service plan monitoring results with service plan modification and critical incident data in order to assure remediation of any identified problems.

**b. Monitoring Safeguard.** Providers of HCBS for the individual, or those who have interest in or are employed by a provider of HCBS; are not permitted to have responsibility for monitoring the implementation of the service plan except, at the option of the state, when providers are given this responsibility because such individuals are the only willing and qualified entity in a geographic area, and the state devises conflict of interest protections. *Select one:*

- Entities and/or individuals that have responsibility to monitor service plan implementation, participant health and welfare, and adherence to the HCBS settings requirements may not provide other direct waiver services to the participant.**
- Entities and/or individuals that have responsibility to monitor service plan implementation, participant health and welfare, and adherence to the HCBS settings requirements may provide other direct waiver services to the participant because they are the only willing and qualified entity in a geographic area who can monitor service plan implementation.** *(Explain how the HCBS waiver service provider is the only willing and qualified entity in a geographic area who can monitor service plan implementation).*

*(Complete only if the second option is selected)* The state has established the following safeguards to mitigate the potential for conflict of interest in monitoring of service plan implementation, participant health and welfare, and adherence to the HCBS settings requirements. *By checking each box, the state attests to having a process in place to ensure:*

- Full disclosure to participants and assurance that participants are supported in exercising their right to free choice of providers and are provided information about the full range of waiver services, not just the services furnished by the entity that is responsible for the person-centered service plan development;**
- An opportunity for the participant to dispute the state's assertion that there is not another entity or individual that is not that individual's provider to develop the person-centered service plan through a clear and accessible alternative dispute resolution process;**
- Direct oversight of the process or periodic evaluation by a state agency;**
- Restriction of the entity that develops the person-centered service plan from providing services without the direct approval of the state; and**
- Requirement for the agency that develops the person-centered service plan to administratively separate the plan development function from the direct service provider functions.**

**Appendix D: Participant-Centered Planning and Service Delivery**

**Quality Improvement: Service Plan**

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

**a. Methods for Discovery: Service Plan Assurance/Sub-assurances**

*The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.*

**i. Sub-Assurances:**

- a. Sub-assurance: Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.**

**Performance Measures**

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

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

**Performance Measure:**

**D.a1 # and Percent of signed service plans verifying that the participant/legal representative participated in the development of the plan and that the plan addresses all participant's assessed needs, goals, and health and safety risk factors. N: # of signed service plans that met all participant's assessed needs, goals, and health and safety risk factors. D: Total number of service plans.**

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

Case management information system

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

<input type="checkbox"/> <b>Other</b> Specify:  <input type="text"/>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group:  <input type="text"/>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify:  <input type="text"/>
	<input type="checkbox"/> <b>Other</b> Specify:  <input type="text"/>	

**Data Aggregation and Analysis:**

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

**b. Sub-assurance: Service plans are updated/revised at least annually, when the individual's circumstances or needs change significantly, or at the request of the individual.**

**Performance Measures**

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

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

**Performance Measure:**

**Pursuant to CMS guidance issued March 12, 2014, reporting on this subassurance is no longer required.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

N/A

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

	<input style="width: 80%; height: 20px;" type="text"/>	
--	--	--

**Data Aggregation and Analysis:**

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

**c. Sub-assurance: Services are delivered in accordance with the service plan, including the type, scope, amount, duration, and frequency specified in the service plan.**

**Performance Measures**

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

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

**Performance Measure:**

**D.c1 Number and Percent of service plans that were revised to address changing needs. Numerator: Number of service plans updated when warranted by changes in the participant's needs. Denominator: Total number of participants with a documented change in needs which warrant a service plan update.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case management information system**

<b>Responsible Party for data collection/generation</b> <i>(check each that applies):</i>	<b>Frequency of data collection/generation</b> <i>(check each that applies):</i>	<b>Sampling Approach</b> <i>(check each that applies):</i>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

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

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

**Performance Measure:**

**D.c2 Number and Percent of service plans that were updated or revised every 12 months. Numerator: Number of service plans updated or revised every 12 months. Denominator: Total number of service plans which require an update or revision every 12 months.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case management information system**

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

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

**Data Aggregation and Analysis:**

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

**d. Sub-assurance: Participants are afforded choice between/among waiver services and providers.**

**Performance Measures**

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

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

**Performance Measure:**

**D.d1 Number and Percent of of services delivered in accordance with the service**

plan, including the the type, scope, amount, duration, and frequency (TSADF).  
**Numerator:** Number of services delivered in accordance with the service plan,  
 including the the (TSADF). **Denominator:** Total number services delivered.

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case Management Information System**

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

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> ( <i>check each that applies</i> ):	<b>Frequency of data aggregation and analysis</b> ( <i>check each that applies</i> ):
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

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

**Performance Measures**

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

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

**Performance Measure:**

**D.e1 Number and Percent service plans stating participants/legally authorized representatives were given a choice of providers. Numerator: Number of service plans stating participants/legally authorized representatives were given a choice of providers. Denominator: Total number of service plans.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case management information system**

<b>Responsible Party for data collection/generation</b> ( <i>check each that applies</i> ):	<b>Frequency of data collection/generation</b> ( <i>check each that applies</i> ):	<b>Sampling Approach</b> ( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>

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

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> ( <i>check each that applies</i> ):	<b>Frequency of data aggregation and analysis</b> ( <i>check each that applies</i> ):
	<input type="text"/>

**Performance Measure:**

**D.e2 Number and Percent of service plans stating participants/legally authorized representatives were given a choice of services. Numerator: Number of service plans stating participants/legally authorized representatives were given a choice of services. Denominator: Total number of service plans.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

Case management information system

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

	<input style="width: 80%; height: 20px;" type="text"/>	
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**Data Aggregation and Analysis:**

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

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

**b. Methods for Remediation/Fixing Individual Problems**

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

Individual deficiencies identified through regular monitoring activities or through waiver performance measures are remediated by the Division staff through the provision of technical assistance, the imposition of a corrective action or sanction, and/or the suspension or termination of a Medicaid provider agreement.

In accordance with CMS guidance issued March 12, 2014, any performance measure with less than an 86% success rate warrants further analysis to determine the cause. The Division conducts a root cause analysis to identify contributing factors and determine underlying causes of deficiency for any measure with less than an 86% success rate. Based upon the findings of the root cause analysis, the Division may initiate a Quality Improvement Project (QIP). The QIP includes, at minimum:

- A description of remedial actions to be taken (e.g. training, revised policies/procedures, additional staff, different staffing patterns, provider/vendor corrective action);
- A timeline of remedial actions to be taken;
- The individuals responsible for effectuating remedial actions; and,

- The frequency with which performance/compliance is measured.

The HCBS Quality Improvement Committee assures accountability to the Division's stakeholders and provides oversight of quality improvement activities, including regular monitoring of QIP effectiveness.

**ii. Remediation Data Aggregation**

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

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

**c. Timelines**

When the state does not have all elements of the quality improvement strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Service Plans that are currently non-operational.

- No
- Yes

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

**Appendix E: Participant Direction of Services**

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**Applicability** (from Application Section 3, Components of the Waiver Request):

- Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.
- No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the Appendix.

*CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both.*

**Appendix E: Participant Direction of Services**

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**E-1: Overview (1 of 13)**

- 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.

#### Appendix E-1-a - Description of Participant Direction

(a) The Community Choices Waiver affords participants the opportunity to direct their personal support services. The participant (and/or legal representative, as appropriate) may choose to act as the participant-directed employer and direct their own services, or to designate another individual to act as the participant-directed employer and direct services on their behalf. Participants who choose to direct personal support services are granted both the employer and budget authorities.

Employer authority grants the participant/designated participant-directed employer the ability to recruit, select, discharge, terminate, schedule, supervise, set wages, and otherwise manage employees of their choosing. Employer authority is executed under the Fiscal/Employer Agent (F/EA) model. If the participant chooses not to manage the responsibilities associated with participant-directed care, the participant must designate an individual to act in the role of participant-directed employer to direct services on their behalf. The participant/designated individual serves as the participant-direction employer.

Budget authority grants the participant-directed employer the ability to direct services within a participant-directed budget. The case manager calculates the participant-directed budget based on the participant's assessed needs using the Division's guidelines and prescribed methods.

(b) The case manager informs the participant of all possible service alternatives, including opportunities for participant direction as part of the service plan development processes described in Appendix D-1-d. Participants who express an interest in participant direction are assisted by the case manager in completing the required documents and are referred to the contracted Financial Management Services (FMS) agency for enrollment support.

(c) The contracted FMS agency supports the participant-directed employers by performing financial administrative activities such as withholding taxes and processing payroll. In performance of its delegated functions, the FMS verifies participant-directed provider qualifications, conducts background investigations, and facilitates provider enrollment to receive FMS services. The FMS maintains a separate account for each participant in order to track and report the expenditures and balance of the participant's participant-directed budget.

Case management activities also support participant direction. Case managers provide information about participant-direction opportunities; assist the participant/designated employer in obtaining and completing required documents; determine the participant's monthly budget allocation; coordinate with the FMS agency; and monitor participant-directed service effectiveness, quality, and expenditures.

## Appendix E: Participant Direction of Services

### E-1: Overview (2 of 13)

- b. Participant Direction Opportunities.** Specify the participant direction opportunities that are available in the waiver. *Select one:*

- **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 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.

c. **Availability of Participant Direction by Type of Living Arrangement.** *Check each that applies:*

- 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:

## Appendix E: Participant Direction of Services

### E-1: Overview (3 of 13)

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.
- 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*

## Appendix E: Participant Direction of Services

### E-1: Overview (4 of 13)

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.

(a) Participants (and/or legal representatives, as appropriate) are informed of all possible service alternatives, including opportunities for participant direction as part of the service plan development process described in Appendix D-1-d. Participants who express an interest in participant direction are informed of the potential benefits, liabilities, risks, and responsibilities associated with participant direction.

(b) & (c) Case managers provide this information during the development of the initial service plan development, at the annual service plan review, at any time the service plan is updated due to a significant change in the participant's condition, or at any other time it is requested by the participant.

## Appendix E: Participant Direction of 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.**
- The state provides for the direction of waiver services by representatives.**

Specify the representatives who may direct waiver services: (*check each that applies*):

- Waiver services may be directed by a legal representative of the participant.**
- 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 services by participant-appointed representatives, including safeguards to ensure that the representative functions in the best interest of the participant:

The participant's court appointed guardian may act as the designated employer for participant direction.

The participant or their court appointed guardian, as appropriate, may also choose to designate another individual to act as the employer of record for participant direction.

The designated employer must attest to their understanding and capability to manage the employer and budget management activities and responsibilities associated with participant direction of waiver services by signing an agreement of understanding that the designated employer is willing and able to assume these responsibilities, does not and cannot receive compensation to act as the designated employer, and cannot delegate or assign these responsibilities to another person or entity. The designated employer cannot be reimbursed to provide waiver services to the participant for whom they are the employer.

The participant-direction employer must work closely with the case manager. The case manager or anyone may report a complaint against the participant-direction employer if they are not acting in the best interest of the participant. The Division uses a publicly available automated complaint system that is accessible from our HCBS website's homepage (<https://health.wyo.gov/healthcarefin/hcbs/>). As part of the case manager requirements listed in Appendix C, case managers review service plan utilization for participant directed clients. Service utilization and documentation must be in alignment with the person centered service plan and meet the needs of the participant.

If the employer fails to meet the responsibilities associated with participant-directed care, they can be removed as the participant-directed employer and the participant or their court-appointed guardian must designate another individual to act as the employer in order to continue to receive services through the participant-directed service delivery option. When the employer is removed the participant's case manager works with the FMS to ensure the participant continues to receive services until the replacement employer is enrolled into the FMS system. If an employer is removed from participant direction, they are prohibited from serving as an employer for any CCW participant indefinitely.

Case managers monitor participant-directed service effectiveness, quality, and expenditures against the budget allocation on a monthly basis.

## Appendix E: Participant Direction of Services

### E-1: Overview (6 of 13)

**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.

Waiver Service	Employer Authority	Budget Authority
Personal Support Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Non-Medical Transportation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Homemaker	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Companion Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Respite	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## Appendix E: Participant Direction of Services

### E-1: Overview (7 of 13)

**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:*

- **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**

**Private entities**

- **No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used.** *Do not complete Item E-1-i.*

## Appendix E: Participant Direction of Services

### E-1: Overview (8 of 13)

**i. Provision of Financial Management Services.** Financial management services (FMS) may be furnished as a waiver service or as an administrative activity. *Select one:*

- **FMS are covered as the waiver service specified in Appendix C-1/C-3**

**The waiver service entitled:**

- **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 Division contracts with a private corporation to act as its Financial Management Services (FMS) agency. The FMS agency is procured competitively through a Request for Proposal (RFP) process in accordance with state procurement laws [WS 9-2-1016, et seq.].

**ii. Payment for FMS.** Specify how FMS entities are compensated for the administrative activities that they perform:

The FMS agency is reimbursed on a fee-for-service basis at a standard per member, per month (PMPM) rate. PMPM payments are made in accordance with the state fiscal rules.

**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:

---

- Assist participant in verifying support worker citizenship status**
- Collect and process timesheets of support workers**
- Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
- Other**

*Specify:*

Assist the participant/designated participant-directed employer in verifying employee qualifications as described in Appendix C-1/C-3 and Appendix C-2 by facilitating criminal history and background investigation processes and by maintaining documentation of compliance with any other applicable program and qualification standards required to receive reimbursement for waiver services.

---

Supports furnished when the participant exercises budget authority:

---

- Maintain a separate account for each participant's participant-directed budget**
- Track and report participant funds, disbursements and the balance of participant funds**
- Process and pay 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:*

---

Additional functions/activities:

---

- Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency**
- Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
- Provide 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.

As described in Appendix A, the Division retains ultimate administrative authority and is responsible for assessing the performance of the contracted FMS agency. The Division's contract with the FMS specifies the scope of work and documents the delegation of administrative and operational activities conducted by the FMS.

FMS agency performance is assessed on a quarterly basis through onsite performance reviews. These performance reviews include an inspection of participant-directed employer/employee files, operational policies and procedures, data reports, and other administrative records as necessary to validate compliance with contractual obligations and service level agreements.

Financial integrity of participant-directed service claims is assured through the post payment audit and billing validation processes described in Appendix I. Additionally, the quarterly onsite performance review procedures include validation of a random convenience sample of FMS claims. The FMS agency must produce the approved timesheets to substantiate the delivery and reimbursement of participant-directed waiver services for claims included in the sample. Any potential overpayments identified are referred to the Division's Program Integrity Unit for further investigation and for the potential payment recovery and reimbursement of Federal Financial Participation (FFP).

## Appendix E: Participant Direction of Services

### E-1: Overview (9 of 13)

**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*):

**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:*

**Waiver Service Coverage.**

Information and assistance in support of participant direction are provided through the following 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
Environmental Modification	<input type="checkbox"/>
Personal Support Services	<input type="checkbox"/>
Non-Medical Transportation	<input type="checkbox"/>
Assisted Living Facility Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Case Management	<input checked="" type="checkbox"/>
Assistive Technology	<input type="checkbox"/>

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Personal Emergency Response System (PERS)	<input type="checkbox"/>
Adult Day Services	<input type="checkbox"/>
Transition Intensive Case Management	<input type="checkbox"/>
Transition Setup Expenses	<input type="checkbox"/>
Companion Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Respite	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Home-Delivered Meals	<input type="checkbox"/>

**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:*

## Appendix E: Participant Direction of Services

### E-1: Overview (10 of 13)

**k. Independent Advocacy** (*select one*).

- 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:*

## Appendix E: Participant Direction of Services

### E-1: Overview (11 of 13)

**I. 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:

Participant-direction is a voluntary service delivery option from which the participant (and/or legal representative, as appropriate) may choose to withdraw at any time.

Participants who elect to voluntarily terminate participant direction must contact their case manager to facilitate the transition to an alternative service delivery option. Case managers must make all reasonable efforts to assure service continuity through the service plan update processes described in Appendix D-1-d. This includes planning for and coordinating the transition to agency-based care or other service alternatives in such a manner that assures participant health and welfare and that the participant's assessed needs are met during that transition.

Participants who voluntarily terminate participant direction may return to the participant-directed service delivery option at any time.

## Appendix E: Participant Direction of Services

### E-1: Overview (12 of 13)

**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.

Participants may be involuntarily removed from the participant-directed service delivery model if:

1. The participant's health and welfare needs are not adequately met;
2. There is documented misuse or abuse of the budget allocation, and the Division has determined that adequate attempts to assist the designated employer to resolve the misuse or abuse have failed;
3. There has been an intentional submission of fraudulent timesheets or other program documentation;
4. The designated employer has been convicted of fraud or abuse; or
5. The designated employer is included on the List of Excluded Individuals/Entities (LEIE) and is therefore excluded from participation in Federally-funded healthcare programs by the US Department of Health and Human Services, Office of Inspector General (OIG).

Case managers facilitate the transition to an alternative service delivery option and must make all reasonable efforts to assure service continuity through the service plan update processes described in Appendix D-1-d. This includes planning for and coordinating the transition to agency-based care or other service alternatives in such a manner that ensures the participant's needs are met during that transition.

Participants who are involuntarily removed from the participant direction delivery model may be prohibited from electing the participant-directed service delivery option in the future.

Typically in cases of fraud, waste, abuse, or misuse of participant direction, the responsible party is the employer of record. When this individual is not a participant, they are not terminated from participant direction; instead, the employer of record is terminated from their role, and the individual can continue to receive services via participant direction. When the employer is also the participant, the individual is removed from the role of employer, but may also continue to receive services through participant direction with a different employer of record. Only in cases where there has been extreme misuse of the participant directed model will a participant be "terminated" from this service model. If an individual is permanently removed and restricted from receiving services through the participant-directed model, they are still able to receive and access similar or same waiver services through the traditional model in the same amount, duration, and scope in accordance with their service plan. If a participant is terminated from the waiver, a participant is informed of the opportunity to request a Fair Hearing as outlined in Appendix F -1.

## Appendix E: Participant Direction of Services

### E-1: Overview (13 of 13)

**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	<input type="text"/>	567
Year 2	<input type="text"/>	555
Year 3	<input type="text"/>	544
Year 4	<input type="text"/>	533
Year 5	<input type="text"/>	522

## Appendix E: Participant Direction of Services

### E-2: Opportunities for Participant Direction (1 of 6)

**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:

- 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:*

- Recruit staff**
- Refer staff to agency for hiring (co-employer)**
- Select staff from worker registry**
- Hire staff common law employer**
- Verify staff qualifications**
- Obtain criminal history and/or background investigation of staff**

Specify how the costs of such investigations are compensated:

The costs for required criminal history and/or background investigations are reimbursed by the Division as an administrative expense.

- 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:

Background checks are conducted in accordance with the processes described in Appendix C-2-a.

- Determine staff duties consistent with the service specifications in Appendix C-1/C-3.**
- Determine staff wages and benefits subject to state limits**
- Schedule staff**
- Orient and instruct staff in duties**
- Supervise staff**
- Evaluate staff performance**
- Verify time worked by staff and approve time sheets**
- Discharge staff (common law employer)**
- Discharge staff from providing services (co-employer)**
- Other**

Specify:

## Appendix E: Participant Direction of Services

### E-2: Opportunities for Participant-Direction (2 of 6)

**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:

The participant-directed budget is allocated and prior authorized for the twelve (12) month plan period on a monthly basis. Participants/designated employers must schedule and manage the provision of services to remain within the monthly budget allocation.

## Appendix E: Participant Direction of Services

### E-2: Opportunities for Participant-Direction (3 of 6)

#### b. Participant - Budget Authority

- 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.

The participant-directed budget is determined as part of the service plan development and update processes described in Appendix D-1-d. The case manager facilitates a discussion among all individuals participating in the service planning process, and a worksheet is used to estimate the frequency and duration of assistance required to support the participant in completing activities of daily living and general household tasks. The case manager considers the participant's assessed goals, strengths, preferences, needs, risks, the availability of natural supports and other resources, and the scope of the service definition detailed in Appendix C in calculating the estimated number of service hours.

The case manager converts the estimated number of service hours into standard units of reimbursement, and the participant-directed budget is calculated by multiplying the number of units by the standard rate for participant-directed services. The worksheet for estimating service frequency and duration and other service planning guidance documents are publicly available on the Division's website.

## Appendix E: Participant Direction of Services

### E-2: Opportunities for Participant-Direction (4 of 6)

#### b. Participant - Budget Authority

- 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.

The case manager informs the participant (and/or legal representative, as appropriate) of the participant-directed budget amount and obtains agreement and informed consent prior to submitting the service plan for the Division's approval and finalization. The service plan, including the participant-directed budget, must be reviewed and updated at least annually but may be reviewed more frequently upon request by the participant or in response to a significant change in the participant's condition or circumstances.

Participants whose requests for adjustment to the participant-directed budget are denied, suspended, reduced, or terminated are provided with a Notice of Adverse Action and may request a fair hearing in accordance with the processes described in Appendix F-1.

## Appendix E: Participant Direction of Services

### E-2: Opportunities for Participant-Direction (5 of 6)

#### b. Participant - Budget Authority

- 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:

## Appendix E: Participant Direction of Services

### E-2: Opportunities for Participant-Direction (6 of 6)

#### b. Participant - Budget Authority

- 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:

The participant-directed budget is prior authorized annually and allocated for monthly utilization to prevent the premature depletion. Participants/designated employers must schedule and manage the provision of services to remain within the monthly budget allocation. Upon election of the participant-directed service delivery option, the participant/designated employer signs an agreement acknowledging understanding of responsibility for managing services within the participant-directed budget and monthly allocations and that timesheets submitted in excess of the participant-directed budget or the monthly allocation will not be reimbursed by the FMS agency.

The contracted FMS agency's payroll processing information system edits submitted timesheets against prior authorization amounts and will not process timesheets submitted in excess of the participant's monthly budget allocation. The FMS agency maintains an online portal and a customer service line to provide participants/designated employers with an up-to-date accounting of expenditures and participant-directed budget remaining.

Case managers must conduct monthly service plan monitoring activities to ensure services are delivered in accordance with the service plan. Service utilization data is available in the Division's case management information system as claims are submitted and reimbursed. Case managers monitor service utilization data and compare against the authorized amounts to identify any potential problems with service access or delivery and may follow up with the participant/designated employer as necessary.

## 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.

At the time of application for the waiver program, participants are provided with an informational handout on the range of services and supports offered through the waiver and a list of approved case management agencies serving the participant's county of residence. Upon enrollment in the waiver program, the participant's assigned case manager uses a person-centered planning approach to facilitate service plan development as described in Appendix D-1-d.

Case managers provide a Participant Handbook including a list of all services and service delivery options available under the waiver and explaining the key features of the program. Case managers are required to present and explain the participant's (and/or legal representative's, as appropriate) choice between community-based and institutional care options, all feasible service alternatives within the waiver, the right to exercise freedom of choice among all willing and qualified service providers, and the right to request a fair hearing in response to an adverse action. The service plan includes a documentation of the participant's understanding of these rights and responsibilities, is agreed to with the informed consent of the participant, and is signed by all individuals and providers responsible for its implementation.

The opportunity to request a fair hearing is provided to all participants who are subject to an adverse action. Applicants/participants who are denied home and community-based services as an alternative to institutional care, services of their choice, providers of their choice, or whose services are denied, suspended, reduced, or terminated are provided with a Notice of Adverse Action in accordance with Chapter 4 of the Rules and Regulations for Medicaid. The Notice of Adverse Action includes:

- An explanation of the individual's right to request a hearing, the methods and instructions for requesting a fair hearing;
- A description of the intended adverse action;
- The effective date of the adverse action;
- The reason(s) for the intended action;
- The specific regulations or changes in federal/state law that require the adverse action; and
- Where applicable, an explanation of the circumstances under which benefits may be continued if a hearing is requested pursuant to 42 CFR §431.231.

A copy of the Notice of Adverse Action is maintained in the case management information system as part of the participant's record.

## Appendix F: Participant-Rights

### Appendix F-2: Additional Dispute Resolution Process

**a. Availability of Additional Dispute Resolution Process.** Indicate whether the state operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*

- No. This Appendix does not apply**
- Yes. The state operates an additional dispute resolution process**
  - **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.

Applicants/participants who disagree with the nursing facility level of care determination made pursuant to the process described in Appendix B-6 may request a fair hearing or may submit a written request for reconsideration to the Division within 20 business days of the level of care determination notice. The Division contracts with a Quality Improvement Organization (QIO) to conduct reconsideration reviews of the level of care evaluations performed by the Public Health Nursing County Offices. A registered nurse from the QIO conducts a peer review of the level of care determination to assess whether the Division's tools and policies were applied appropriately. A second level of care evaluation may be conducted or the first evaluation may be sustained as a result of the peer review.

Applicants/participants who choose to request a reconsideration are not denied the right to a fair hearing and may still request a fair hearing upon receiving the results of the reconsideration review. The opportunity to request a fair hearing is provided to all participants who are subject to an adverse action and is not limited to the level of care determination. The notice of adverse action provided to applicants/participants determined not to meet the nursing facility level of care includes an explanation of the additional dispute resolution and fair hearing processes. Applicants/participants are informed that they may request either and that they may still choose to request a fair hearing if they disagree with the results of the additional dispute resolution process.

## Appendix F: Participant-Rights

### Appendix F-3: State Grievance/Complaint System

**a. Operation of Grievance/Complaint System. *Select one:***

- No. This Appendix does not apply**
- Yes. The state operates a grievance/complaint system that affords participants the opportunity to register grievances or complaints concerning the provision of services under this waiver**
- Operational Responsibility.** Specify the state agency that is responsible for the operation of the grievance/complaint system:

**Do not complete this item.**

- 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).

**Do not complete this item.**

## Appendix G: Participant Safeguards

### Appendix G-1: Response to Critical Events or Incidents

**a. Critical Event or Incident Reporting and Management Process.** Indicate whether the state operates Critical Event or Incident Reporting and Management Process that enables the state to collect information on sentinel events occurring in the waiver program. *Select one:*

- Yes. The state operates a Critical Event or Incident Reporting and Management Process** (*complete Items b through e*)
- No. This Appendix does not apply** (*do not complete Items b through e*)

If the state does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the state uses to elicit information on the health and welfare of individuals served through the program.

**b. State Critical Event or Incident Reporting Requirements.** Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the state requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Critical incidents may be identified and reported by any individual, including: participants; family members, guardians, or friends of a participant; waiver service providers; case managers; federal, state, or local regulatory or law enforcement officials; or any other concerned third parties.

Case managers and waiver service providers must report critical incidents immediately through the Division's web-based reporting system after assuring the health and safety of the participant.

Critical incidents which require review and follow-up action include the following categories:

- Abuse as defined by Wyo. Stat. Ann. § 35-20-102 or Wyo. Stat. Ann. § 14-3-202;
- Neglect and self-neglect as defined in Wyo. Stat. Ann. § 35-20-102 or Wyo. Stat. Ann. § 4-3-202;
- Exploitation as defined in Wyo. Stat. Ann. § 35-20-102;
- Unexpected Death: Death of a participant when not a result of an expected medical prognosis.
  - Death as a result of an unexpected natural cause, illness, or disease
  - Death as a result of neglect
  - Death as a result of trauma inflicted by another person
  - Death as a result of a medication error
  - Death as a result of an accident
  - Suicide
  - Death of an unknown/other cause

Case managers and waiver service providers must report non-critical incidents through the Division's web-based reporting system within three (3) business days after assuring the health and safety of the participant.

- Use of Restraint to include injuries caused by restraints
- Unauthorized Use of Restrictive Interventions
- Any use of seclusion
- Serious injury to the participant
- Elopement
- Medical or behavioral admission and Emergency Room visits while receiving services that are not scheduled medical visits
- All death which does not meet the definition of death as defined under critical incidents

Additionally, the Wyoming Adult Protective Services Act [W.S. §35-20-101, et seq.] requires that, "any person or agency who knows or has reasonable cause to believe that a vulnerable adult is being or has been abused, neglected, exploited, intimidated or abandoned or is committing self neglect shall report the information immediately to a law enforcement agency or the [Department of Family Services]."

Waiver service providers licensed by the Wyoming Department of Health, Aging Division must also report incidents and occurrences as required by the applicable licensing regulations.

**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.

Participants (and/or legal representatives, as appropriate) are provided information concerning protections from abuse, neglect, and exploitation and the process for notifying appropriate authorities when the participant may have experienced abuse, neglect, or exploitation as part of the service plan development processes described in Appendix D-1-d.

Case managers are required to present and explain the participant's rights and responsibilities. The service plan includes documentation of the participant's understanding of these rights and responsibilities, is agreed to with the informed consent of the participant, and is signed by all individuals and providers responsible for its implementation upon the initial service plan finalization and at least annually thereafter.

**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.

The Division begins an investigation of all reported incidents including potential instances of abuse, neglect, exploitation, unexpected death, use of restraint, and/or unauthorized use of restrictive interventions within three business days. The investigation consists of a review of the incident report and other relevant documentation.

For all incidents requiring investigation, the Division reviews the actions taken by the provider agency, case manager, and/or other responsible parties to assure the health and safety of the participant(s) and to determine if those actions constitute an adequate and timely response commensurate with the circumstances of the incident. If those actions are insufficient, the Division requires immediate follow up actions. The Division may conduct those follow up actions directly and/or direct the case manager, provider agency, and/or other responsible parties to conduct additional follow up actions. These actions may include, but are not limited to:

- Notifying the participant's legally authorized representative;;
- Making appropriate medical or behavioral health referrals;
- Performing an on-site visit;
- Making a referral to law enforcement or regulatory/oversight agency (e.g. Wyoming Department of Family Services, Adult Protective Services, Wyoming Long-Term Care Ombudsman Program, Division of Aging Healthcare Licensing and Surveys, or Wyoming Protection and Advocacy System);
- Making a referral to the Division's Program Integrity Unit;
- Making a referral to the Wyoming Attorney General's Office, Medicaid Fraud Control Unit.

The investigation of all incidents is completed within 90 business days provided an outside agency does not have an open investigation related to the same incident. If an external investigation falls outside the 90 business day window, once the outside agency closes their investigation, the investigation is closed internally within 10 business days.

Investigations are not considered concluded until all required follow up actions have been taken to reasonably assure the health and safety of the participant(s). The duration of an investigation varies based on circumstances and follow up actions required. The Division monitors required follow up actions as part of the internal investigation process.

A summary of the investigation results and follow up actions taken is provided to the participant(s) (and/or legal representative(s), as appropriate) and other relevant parties by email or postal mail before the Division considers the investigation is officially closed.

**e. Responsibility for Oversight of Critical Incidents and Events.** Identify the state agency (or agencies) responsible for overseeing the reporting of and response to critical incidents or events that affect waiver participants, how this oversight is conducted, and how frequently.

The Division may share the responsibility for overseeing the response to individual critical incidents or events with other agencies (e.g Adult Protective Services, Law Enforcement agencies, and the Aging Division) depending on the type and circumstances of the incident or event. However, the Division is ultimately responsible for the oversight of critical incidents or events that affect waiver participants. The state monitors progress of the open incident every ten (10) business days and updates the status in IMPROV every thirty (30) business days.

Data compiled from the Division's web-based reporting system is analyzed to identify potential trends and patterns in the types of incidents, affected participants, service providers, and reporting and follow-up timeliness.

## Appendix G: Participant Safeguards

### Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 3)

**a. Use of Restraints.** *(Select one): (For waiver actions submitted before March 2014, responses in Appendix G-2-a will display information for both restraints and seclusion. For most waiver actions submitted after March 2014, responses regarding seclusion appear in Appendix G-2-c.)*

- **The state does not permit or prohibits the use of restraints**

Specify the state agency (or agencies) responsible for detecting the unauthorized use of restraints and how this oversight is conducted and its frequency:

- **The use of restraints is permitted during the course of the delivery of waiver services.** Complete Items G-2-a-i and G-2-a-ii.

**i. Safeguards Concerning the Use of Restraints.** Specify the safeguards that the state has established concerning the use of each type of restraint (i.e., personal restraints, drugs used as restraints, mechanical restraints). State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Personal, chemical, and mechanical restraints are permitted in the delivery of assisted living facility services and respite services delivered in an assisted living or nursing care facility.

Restraints must be ordered by a physician and required by the participant's medical symptoms. Assisted living and nursing care facilities may not impose restraints for purposes of discipline or convenience, and must establish resident rights policies which prohibit the use of restraints unless ordered by a physician and required to address the participant's medical symptoms.

The potential use of restraints must be supported by a specific assessed need and justified in the participant's service plan pursuant to 42 CFR §441.301(c). The service plan must:

- Identify a specific and individualized assessed need.
- Document the positive interventions and supports used prior to any modifications to the person-centered service plan.
- Document less intrusive methods of meeting the need that have been tried but did not work.
- Include a clear description of the condition that is directly proportionate to the specific assessed need.
- Include a regular collection and review of data to measure the ongoing effectiveness of the modification.
- Include established time limits for periodic reviews to determine if the modification is still necessary or can be terminated.
- Include informed consent of the individual.
- Include an assurance that interventions and supports will cause no harm to the individual.

Assisted living and nursing care facilities must comply with all protocols, practices, record keeping and personnel education and training requirements for the application of restraints in accordance with Chapter 12 of the Aging Division Rules for Program Administration of Assisted Living Facilities, Chapter 11 of the Aging Division Rules for Program Administration of Assisted Living Facilities, and 42 CFR §483.12. The Wyoming Department of Health, Aging Division monitors for the unauthorized use or misapplication of restraints as part of the facility survey and licensure processes.

Case managers conduct monthly service plan monitoring activities in order to identify any changes in the participant's condition or circumstances, screen for any potential risks or concerns, assess the participant's (and/or legal representative's, as appropriate) satisfaction with services and supports, evaluate the effectiveness of the service plan in meeting the participant's needs, and to ensure services are delivered in accordance with the service plan. Case managers must report the unauthorized use or misapplication of restraints as a critical incident.

Upon initial enrollment of assisted living and nursing care facility providers and periodically thereafter, the Division reviews resident agreements, handbooks, and other provider materials for references to potential use of restraints and restrictive intervention in order to ensure compliance with waiver provider participation standards.

The Long Term Care Ombudsman investigates, advocates, and mediates on behalf of adults applying for or receiving long term care services, to resolve complaints concerning actions or inactions that may adversely affect participant health, safety, welfare or rights. Following an investigation, the ombudsman reports findings and recommendations to the participant or participant's guardian and may report the findings to any other entity deemed appropriate.

Additionally, the Adult Protective Services Act [WS 35-20-101, et seq.] requires that any person or agency who knows or has reasonable cause to believe that a vulnerable adult is being or has been abused neglected, exploited or abandoned or is committing self-neglect shall report the information immediately to a law enforcement agency or the Wyoming Department of Family Services, Adult Protective Services (APS).

- 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 Wyoming Department of Health, Aging Division has the primary oversight responsibility regarding the use of restraints and ensures compliance with the safeguards concerning their use as part of the facility survey and licensure processes. Facility surveys are conducted upon initial licensure, in response to a complaint, and periodically thereafter. Aging Division surveyors inspect the facility, interview facility administrators and personnel, review documents, and undertake other procedures necessary to evaluate the extent to which the facility meets licensure standards and Medicare Conditions of Participation, as applicable. All survey results are submitted to the Division.

Assisted living facilities must document and report all accidents; injuries; incidents; illnesses; and allegations of abuse, neglect, or exploitation to the participant's family or other responsible party. The use of a restraint must be reported as a critical incident. Critical incidents including the use of restraints are analyzed to enable the identification of trends and development of quality improvement strategies as described in Appendix G-1.

The Division maintains an Memorandum of Understanding (MOU) with the Department of Family Services (Adult Protective Services) to allow information sharing between agencies. The Division does not have the authority to provide oversight of or to impose information sharing requirements on the Long-Term Care Ombudsman programs. However, the Division encourages collaboration and information sharing and intends to use the HCBS Quality Committee as an opportunity to establish formal cooperation and information sharing agreements in the future.

## Appendix G: Participant Safeguards

### Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 3)

#### b. Use of Restrictive Interventions. *(Select one):*

- The state does not permit or prohibits the use of restrictive interventions**

Specify the state agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

- The use of restrictive interventions is permitted during the course of the delivery of waiver services** Complete Items G-2-b-i and G-2-b-ii.

**i. Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the state has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

Limitation on the participant's full access to the greater community, privacy, independence in making life choices, freedom to control their own schedules and activities, access to food, or ability to have visitors of their choosing at any time may be permitted in the delivery of assisted living facility services, adult day services (health model), and respite services delivered in an assisted living or nursing care facility.

The use of restrictive interventions must be supported by a specific assessed need and justified in the participant's service plan pursuant to 42 CFR §441.301(c). The service plan must:

- Identify a specific and individualized assessed need.
- Document the positive interventions and supports used prior to any modifications to the person-centered service plan.
- Document less intrusive methods of meeting the need that have been tried but did not work.
- Include a clear description of the condition that is directly proportionate to the specific assessed need.
- Include a regular collection and review of data to measure the ongoing effectiveness of the modification.
- Include established time limits for periodic reviews to determine if the modification is still necessary or can be terminated.
- Include informed consent of the individual.
- Include an assurance that interventions and supports will cause no harm to the individual.

Assisted living, adult day care, and nursing care facilities must comply with all protocols, practices, record keeping and personnel education and training requirements for the application of restrictive interventions in accordance with Chapter 12 of the Aging Division Rules for Program Administration of Assisted Living Facilities, Chapter 7 of the Aging Division Rules for Program Administration of Adult Day Care Facilities, Chapter 11 of the Aging Division Rules for Program Administration of Assisted Living Facilities, and 42 CFR §483.12. The Wyoming Department of Health, Aging Division monitors for the unauthorized use or misapplication of restrictive interventions as part of the facility survey and licensure processes.

When required, restrictive interventions are typically applied on an ongoing basis, e.g., restricted egress in a memory care unit or limited access to food due to prescribed dietary restrictions; therefore, documentation is not required each time a restrictive intervention is applied. Case managers conduct monthly service plan monitoring activities in order to identify any changes in the participant's condition or circumstances, screen for any potential risks or concerns, assess the participant's (and/or legal representative's, as appropriate) satisfaction with services and supports, evaluate the effectiveness of the service plan in meeting the participant's needs, and to ensure services are delivered in accordance with the service plan. Case managers must report the unauthorized use or misapplication of restrictive interventions as a critical incident.

The Long Term Care Ombudsman investigates, advocates, and mediates on behalf of adults applying for or receiving long term care services, to resolve complaints concerning actions or inactions that may adversely affect participant health, safety, welfare or rights. Following an investigation, the ombudsman reports findings and recommendations to the participant or participant's guardian and may report the findings to any other entity deemed appropriate.

Additionally, the Adult Protective Services Act [WS 35-20-101, et seq.] requires that any person or agency who knows or has reasonable cause to believe that a vulnerable adult is being or has been abused neglected, exploited or abandoned or is committing self-neglect shall report the information immediately to a law enforcement agency or the Wyoming Department of Family Services, Adult Protective Services (APS).

- 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 Division has the primary oversight responsibility regarding the use of restrictive interventions through its oversight of the service plan development and implementation processes. Case managers monitor the use of restrictive interventions through monthly service plan monitoring activities to ensure services are delivered in accordance with the service plan. The unauthorized use of a restrictive intervention must be reported as a critical incident. Critical incidents including the unauthorized use of a restrictive intervention are analyzed as described in Appendix G-1. The Division is working to modify its case management information system to allow for collection and aggregation of service plan data related to the use and monitoring of restrictive interventions in order to enable the identification of trends and development of quality improvement strategies.

The Wyoming Department of Health, Aging Division also oversees the use of restrictive interventions and ensures compliance with the safeguards concerning their use as part of the facility survey and licensure processes. Facility surveys are conducted upon initial licensure, in response to a complaint, and periodically thereafter. Aging Division surveyors inspect the facility, interview facility administrators and personnel, review documents, and undertake other procedures necessary to evaluate the extent to which the facility meets licensure standards and Medicare Conditions of Participation, as applicable. All survey results are submitted to the Division.

## Appendix G: Participant Safeguards

### Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (3 of 3)

**c. Use of Seclusion.** *(Select one): (This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

**The state does not permit or prohibits the use of seclusion**

Specify the state agency (or agencies) responsible for detecting the unauthorized use of seclusion and how this oversight is conducted and its frequency:

The Wyoming Department of Health, Aging Division has the primary oversight responsibility regarding the unauthorized use of involuntary seclusion as part of the facility survey and licensure processes. Facility surveys are conducted upon initial licensure, in response to a complaint, and periodically thereafter. Aging Division surveyors inspect the facility, interview facility administrators and personnel, review documents, and undertake other procedures necessary to evaluate the extent to which the facility meets licensure standards and Medicare Conditions of Participation, as applicable. All survey results are submitted to the Division.

Case managers conduct monthly service plan monitoring activities in order to identify any changes in the participant's condition or circumstances, screen for any potential risks or concerns, assess the participant's (and/or legal representative's, as appropriate) satisfaction with services and supports, evaluate the effectiveness of the service plan in meeting the participant's needs, and to ensure services are delivered in accordance with the service plan. Case managers must report the unauthorized use of involuntary seclusion as a critical incident.

The Long Term Care Ombudsman investigates, advocates, and mediates on behalf of adults applying for or receiving long term care services, to resolve complaints concerning actions or inactions that may adversely affect resident health, safety, welfare or rights. Following an investigation, the ombudsman reports findings and recommendations to the resident or resident's guardian and may report the findings to any other entity deemed appropriate.

Additionally, the Adult Protective Services Act [WS 35-20-101, et seq.] requires that any person or agency who knows or has reasonable cause to believe that a vulnerable adult is being or has been abused neglected, exploited or abandoned or is committing self-neglect shall report the information immediately to a law enforcement agency or the Wyoming Department of Family Services, Adult Protective Services (APS).

**The use of seclusion is permitted during the course of the delivery of waiver services.** Complete Items G-2-c-i

and G-2-c-ii.

- i. Safeguards Concerning the Use of Seclusion.** Specify the safeguards that the state has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

- 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:

## Appendix G: Participant Safeguards

### Appendix G-3: Medication Management and Administration (1 of 2)

*This Appendix must be completed when waiver services are furnished to participants who are served in licensed or unlicensed living arrangements where a provider has round-the-clock responsibility for the health and welfare of residents. The Appendix does not need to be completed when waiver participants are served exclusively in their own personal residences or in the home of a family member.*

**a. Applicability.** Select one:

- No. This Appendix is not applicable** (*do not complete the remaining items*)
- Yes. This Appendix applies** (*complete the remaining items*)

- **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.

Assisted living facility service providers may manage the medications of participants who have been determined by a physician as incapable of administering their own medications. A registered nurse is required to review the participant's medication regimen every two months, whenever new medication is prescribed, or when a medication is changed.

The registered nurse oversees the participant's medication regimen and the administration of prescribed medications and treatments in accordance with the Wyoming Nurse Practice Act. In order to ensure medications are managed appropriately and to identify and follow up on potentially harmful practices, the registered nurse:

- Accepts responsibility for judgments, individual nursing actions, competence, decisions, and behavior in the course of nursing practice;
- Bases nursing decisions on nursing knowledge, evidence-based practice, skills, standards, and the needs of the participant;
- Participates as a member of the interdisciplinary healthcare team;
- Communicates and consults with other healthcare team members and seeks clarification of orders or direction when needed;
- Conducts a comprehensive assessment;
- Evaluates the participant's response to nursing care and other therapies;
- Identifies changes in the participant's health status and comprehends clinical implications of the client's signs, symptoms, and changes as part of expected or unexpected participant course and emergent situations; and
- Takes preventative measures to protect the participant, others, and self by identifying unsafe care situations and correcting problems or referring problems to appropriate management level when needed.

- 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.

The Wyoming Department of Health, Aging Division oversees the medication management activities conducted by assisted living facilities and ensures compliance with medication management standards as part of the facility survey and licensure processes. Facility surveys are conducted upon initial licensure, in response to a complaint, and periodically thereafter. Aging Division surveyors inspect the facility, interview facility administrators and personnel, review documents, and undertake other procedures necessary to evaluate the extent to which the facility meets licensure standards. Facility surveys include oversight of the medication management and administration activities and are used to detect potentially harmful practices. The Wyoming Department of Health, Aging Division may take disciplinary action or refuse to issue, renew, relicense, or reinstate a license should an assisted living facility demonstrate non-compliance with its licensure standards. All survey results are submitted to the Division.

The Wyoming State Board of Nursing may take disciplinary action or refuse to issue, renew, relicense, or reinstate a license should the registered nurse fail to meet the standards of the Wyoming Nurse Practice Act in conducting medication management activities.

## Appendix G: Participant Safeguards

### Appendix G-3: Medication Management and Administration (2 of 2)

#### c. Medication Administration by Waiver Providers

##### i. Provider Administration of Medications. *Select one:*

- Not applicable.** *(do not complete the remaining items)*
- Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*

- **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).

Waiver service provider personnel who administer medications must be a professional nurse licensed and authorized to do so under the Wyoming Nurse Practice Act. Assisted living facilities, adult day care facilities, nursing care facilities, and home health agencies must comply with all protocols, practices, record keeping, and personnel education and training requirements for the storage and administration of medications in accordance with Chapter 12 of the Aging Division Rules for Program Administration of Assisted Living Facilities, Chapter 7 of the Aging Division Rules for Program Administration of Adult Day Care Facilities, Chapter 11 of the Aging Division Rules for Program Administration of Assisted Living Facilities, and Chapter 9 of the Aging Division Rules for Program Administration of Home Health Agencies.

A registered nurse oversees the participant's medication regimen and the administration of prescribed medications and treatments in accordance with the Wyoming Nurse Practice Act. In order to ensure medications are managed appropriately and to identify and follow up on potentially harmful practices, the registered nurse:

- Accepts responsibility for judgments, individual nursing actions, competence, decisions, and behavior in the course of nursing practice;
- Bases nursing decisions on nursing knowledge, evidence-based practice, skills, standards, and the needs of the participant;
- Participates as a member of the interdisciplinary healthcare team;
- Communicates and consults with other healthcare team members and seeks clarification of orders or direction when needed;
- Conducts a comprehensive assessment;
- Evaluates the participant's response to nursing care and other therapies;
- Identifies changes in the participant's health status and comprehends clinical implications of the client's signs, symptoms, and changes as part of expected or unexpected participant course and emergent situations; and
- Takes preventative measures to protect the participant, others, and self by identifying unsafe care situations and correcting problems or referring problems to appropriate management level when needed.

The medication assistance provided by Certified Nurse Assistants (CNAs) includes "assistance with medications that are ordinarily self-administered and that do not require the skills of a licensed nurse to be provided safely and effectively" as outlined in the §42 CFR 409.45(b)(1)(iii). After delegation by a licensed nursing professional, the CNA may assist the participant with self-administered medications. This assistance is limited to reminding the participant to take medications; removing medication container from storage; assisting with removal of a cap; assisting with the removal of a medication from a container for participants with a disability (i.e., arthritis) which prevents independence in this act; and observing the participant take the medication, opening and pouring premixed unit dose medication into a nebulizer cup when the patient is physically unable to do so, assisting in putting over the counter eye drops in the participant's eyes, assisting in applying topical ointments to intact skin, assisting with insertion of a rectal suppository.

- **Medication Error Reporting.** *Select one of the following:*
  - **Providers that are responsible for medication administration are required to both record and report medication errors to a state agency (or agencies).**  
*Complete the following three items:*
    - (a) Specify state agency (or agencies) to which errors are reported:

[Empty text box]

(b) Specify the types of medication errors that providers are required to *record*:

[Empty text box]

(c) Specify the types of medication errors that providers must *report* to the state:

[Empty text box]

- **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:

Medication errors resulting in emergency medical treatment and those related to the abuse, neglect, exploitation, or unexpected death of a participant must be reported as an incident.

Waiver service providers must record the following types of medication errors in the medication administration record:

- Incorrect medication administered to participant
- Medication not administered
- Medication not administered timely
- Medication administered in wrong dosage
- Medication administered via wrong route
- Allergic reaction to a medication

- **State Oversight Responsibility.** Specify the state agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

The Wyoming Department of Health, Aging Division monitors the performance of waiver providers in the administration of medications as part of the facility/agency survey and licensure processes. Facility/agency surveys are conducted upon initial licensure, in response to a complaint, and periodically thereafter. Aging Division surveyors inspect the facility/agency, interview facility/agency administrators and personnel, review documents, and undertake other procedures necessary to evaluate the extent to which the facility/agency meets licensure standards. All survey results are submitted to the Division.

The Wyoming State Board of Nursing may take disciplinary action or refuse to issue, renew, relicense, or reinstate a license should the nurse or CNA fail to meet the standards of the Wyoming Nurse Practice Act in conducting medication administration/assistance activities.

## Appendix G: Participant Safeguards

### Quality Improvement: Health and Welfare

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

#### a. Methods for Discovery: Health and Welfare

*The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and*

welfare.

**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**

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:**

**G.a3 # and Percent of critical incident reports submitted by the case manager or provider within the required timeframe of being notified of the incident N:# of critical incident reports submitted by the case manager or provider within the required timeframe of being notified of the incident D:Total # of critical incident reports submitted by case managers or providers**

**Data Source** (Select one):

**Critical events and incident reports**

If 'Other' is selected, specify:

<b>Responsible Party for data collection/generation</b> <i>(check each that applies):</i>	<b>Frequency of data collection/generation</b> <i>(check each that applies):</i>	<b>Sampling Approach</b> <i>(check each that applies):</i>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify:

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

**Data Aggregation and Analysis:**

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

**Performance Measure:**

**G.a1.1 Number and Percent of abuse, neglect, exploitation and unexplained deaths (ANEU) that were reported to the appropriate authority in accordance with Division policy and within the required timeframe. N: Number of ANEU's that were reported to the appropriate authority in accordance with Division policy and within the required timeframe. D: Total number of ANEU's.**

**Data Source (Select one):**

**Critical events and incident reports**

If 'Other' is selected, specify:

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

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

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> ( <i>check each that applies</i> ):	<b>Frequency of data aggregation and analysis</b> ( <i>check each that applies</i> ):
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**G.a1 Number and Percent of participants for whom the service plan documents receipt of information and education on how to report abuse, neglect, and exploitation (ANE). Numerator: Number of participants for whom the service plan documents receipt of information and education on how to report ANE.**

**Denominator: Total number of participants.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case Management Information System**

<b>Responsible Party for data collection/generation</b> ( <i>check each that applies</i> ):	<b>Frequency of data collection/generation</b> ( <i>check each that applies</i> ):	<b>Sampling Approach</b> ( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	
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**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis ( <i>check each that applies</i> ):	Frequency of data aggregation and analysis( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> <b>Other</b> Specify:  <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

**Performance Measure:**

**G.a2 Number and Percent of abuse, neglect, exploitation, and unexplained death (ANEU's) incidents that were reviewed in accordance with Division policy AND within required timeframes. Numerator: Number of ANEU's that were reviewed in accordance with Division policy AND within required timeframes. Denominator: Total number ANEU's.**

**Data Source (Select one):**

**Critical events and incident reports**

If 'Other' is selected, specify:

Responsible Party for data collection/generation ( <i>check each that applies</i> ):	Frequency of data collection/generation ( <i>check each that applies</i> ):	Sampling Approach ( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100%

		<b>Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <input type="text"/>
<input type="checkbox"/> <b>Other</b> Specify: <input type="text"/>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <input type="text"/>
	<input type="checkbox"/> <b>Other</b> Specify: <input type="text"/>	

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> (check each that applies):	<b>Frequency of data aggregation and analysis</b> (check each that applies):

b. *Sub-assurance: The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.*

**Performance Measures**

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

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

**Performance Measure:**

**G.b3 Number and Percent of Performance Review Committee (PRC) meetings conducted to review critical incident (CI) trends and potential system improvements to prevent abuse, neglect, exploitation, and unexpected death (ANEU). N: Number of PRC meetings conducted to review CI trends and potential system improvements to prevent ANEU. D: Total number of PRC meetings expected.**

**Data Source** (Select one):

**Meeting minutes**

If 'Other' is selected, specify:

<b>Responsible Party for data collection/generation</b> (check each that applies):	<b>Frequency of data collection/generation</b> (check each that applies):	<b>Sampling Approach</b> (check each that applies):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input checked="" type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify:	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group:

	<input type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input checked="" type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**G.b2 Number and Percent of substantiated critical incidents for which resolution progress was monitored according to the investigation timelines. Numerator: Number of substantiated critical incidents for which resolution progress was monitored according to the investigation timelines. Denominator: Total number of substantiated critical incidents.**

**Data Source** (Select one):

**Critical events and incident reports**

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

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

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

**Performance Measure:**

**G.b1 # and Percent of substantiated abuse, neglect, exploitation, unexplained death incidents (ANEU) in which required/recommended follow up was completed in accordance with Division policy and within required timeframes N:# of substantiated ANEU in which required/recommended follow up was completed in accordance with Division policy and within required timeframes D:Total # of substantiated ANEU**

**Data Source** (Select one):

**Critical events and incident reports**

If 'Other' is selected, specify:

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

	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

<b>Responsible Party for data aggregation and analysis (check each that applies):</b>	<b>Frequency of data aggregation and analysis(check each that applies):</b>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input checked="" type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**c. Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.**

**Performance Measures**

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

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

**Performance Measure:**

**G.c2 Number and Percent of providers that comply with Division policies regarding**

**prohibition of seclusion. Numerator: Number of providers that comply with Division policies regarding prohibition of seclusion. Denominator: Number of providers.**

**Data Source** (Select one):

**Critical events and incident reports**

If 'Other' is selected, specify:

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

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis</b> (check each that applies):	<b>Frequency of data aggregation and analysis</b> (check each that applies):
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**G.c1 Number and Percent of critical incidents including use of a restrictive intervention which were determined compliant with state policies procedures. N: Number of critical incidents including use of a restrictive intervention which were determined compliant with state policies and procedures. D: Total number of critical incidents including use of a restrictive intervention.**

**Data Source** (Select one):

**Critical events and incident reports**

If 'Other' is selected, specify:

<b>Responsible Party for data collection/generation</b> (check each that applies):	<b>Frequency of data collection/generation</b> (check each that applies):	<b>Sampling Approach</b> (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

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

**Data Aggregation and Analysis:**

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

**d. Sub-assurance:** *The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.*

**Performance Measures**

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

*For each performance measure, provide information on the aggregated data that will enable the state to analyze and assess progress toward the performance measure. In this section provide information on the*

*method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.*

**Performance Measure:**

**G.d1 Number and Percent of service plans that document the provision of education and information on age and gender appropriate preventative healthcare services.**

**Numerator: Number of service plans that document the provision of education and information on age and gender appropriate preventative healthcare services.**

**Denominator: Total number of service plans.**

**Data Source** (Select one):

**Other**

If 'Other' is selected, specify:

**Case management information system**

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

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

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

**b. Methods for Remediation/Fixing Individual Problems**

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

Individual deficiencies identified through regular monitoring activities or through waiver performance measures are remediated by the Division staff through the provision of technical assistance, the imposition of a corrective action or sanction, referrals to the appropriate regulatory/law enforcement agencies, and/or the suspension or termination of a Medicaid provider agreement.

In accordance with CMS guidance issued March 12, 2014, any performance measure with less than an 86% success rate warrants further analysis to determine the cause. The Division conducts a root cause analysis to identify contributing factors and determine underlying causes of deficiency for any measure with less than an 86% success rate. Based upon the findings of the root cause analysis, the Division may initiate a Quality Improvement Project (QIP). The QIP includes, at minimum:

- A description of remedial actions to be taken (e.g. training, revised policies/procedures, additional staff, different staffing patterns, provider/vendor corrective action);
- A timeline of remedial actions to be taken;
- The individuals responsible for effectuating remedial actions; and,
- The frequency with which performance/compliance is measured.

The HCBS Quality Improvement Committee assures accountability to the Division's stakeholders and provides oversight of quality improvement activities, including regular monitoring of QIP effectiveness.

**ii. Remediation Data Aggregation**

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

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

**c. Timelines**

When the state does not have all elements of the quality improvement strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of health and welfare that are currently non-operational.

- No
- Yes

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

**Appendix H: Quality Improvement Strategy (1 of 3)**

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Under Section 1915(c) of the Social Security Act and 42 CFR § 441.302, the approval of an HCBS waiver requires that CMS determine that the state has made satisfactory assurances concerning the protection of participant health and welfare, financial accountability and other elements of waiver operations. Renewal of an existing waiver is contingent upon review by CMS and a finding by CMS that the assurances have been met. By completing the HCBS waiver application, the state specifies how it has designed the waiver’s critical processes, structures and operational features in order to meet these assurances.

- Quality improvement is a critical operational feature that an organization employs to continually determine whether it operates in accordance with the approved design of its program, meets statutory and regulatory assurances and requirements, achieves desired outcomes, and identifies opportunities for improvement.

CMS recognizes that a state’s waiver quality improvement strategy may vary depending on the nature of the waiver target population, the services offered, and the waiver’s relationship to other public programs, and will extend beyond regulatory requirements. However, for the purpose of this application, the state is expected to have, at the minimum, systems in place to measure and improve its own performance in meeting six specific waiver assurances and requirements.

It may be more efficient and effective for a quality improvement strategy to span multiple waivers and other long-term care services. CMS recognizes the value of this approach and will ask the state to identify other waiver programs and long-term care services that are addressed in the quality improvement strategy.

**Quality Improvement Strategy: Minimum Components**

The quality improvement strategy (QIS) 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 OIS* and revise it as necessary and appropriate.

If the state's QIS is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its QIS, 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 QIS 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 QIS. In instances when the QIS spans more than one waiver, the state must be able to stratify information that is related to each approved waiver program. Unless the state has requested and received approval from CMS for the consolidation of multiple waivers for the purpose of reporting, then the state must stratify information that is related to each approved waiver program, i.e., employ a representative sample for each waiver.

## Appendix H: Quality Improvement Strategy (2 of 3)

### H-1: Systems Improvement

#### a. System Improvements

- i. Describe the process(es) for trending, prioritizing, and implementing system improvements (i.e., design changes) prompted as a result of an analysis of discovery and remediation information.

The Performance Review Committee (PRC) identifies opportunities for system improvement and recommends system design changes to the Division for its consideration and implementation. The PRC meets on a quarterly basis to monitor ongoing discovery and remediation activities, critical incident trends, participant experience/quality of life survey data, and progress reports on existing quality improvement projects and system improvement initiatives.

In prioritizing system improvements, the PRC and the Division may consider the frequency, likelihood, and potential consequences of deficiencies; data on past performance in relation to performance indicators; external drivers (e.g. federal/state policy priorities and regulatory compliance standards); and/or stakeholder input. The PRC and the Division may also use brainstorming, the nominal group technique, Healthcare Failure Mode and Effects Analyses (HFMEAs), prioritization matrices, or other decision-making methods and tools to establish system improvement priorities. The PRC and the Division research best practices using credible sources (e.g. the National Quality Forum and the Agency for Healthcare Research and Quality) to identify and establish quality benchmarks and key performance indicators.

#### ii. System Improvement Activities

Responsible Party( <i>check each that applies</i> ):	Frequency of Monitoring and Analysis( <i>check each that applies</i> ):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly

Responsible Party <i>(check each that applies):</i>	Frequency of Monitoring and Analysis <i>(check each that applies):</i>
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Quality Improvement Committee	<input type="checkbox"/> Annually
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**b. System Design Changes**

- i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the state's targeted standards for systems improvement.

The primary functions of the PRC are to assure accountability to the Division's stakeholders and to monitor system design change progress and effectiveness. Quarterly progress reports on the recently concluded and ongoing quality improvement projects and system improvement initiatives are provided to the PRC. Additionally, the effectiveness of system improvement initiatives is measured using data reports and trends in comparison with the established quality benchmarks and key performance indicators. PRC quarterly meeting summaries and materials are available to the public through the Division's website.

The PRC membership currently consists of Division staff responsible for waiver program management, waiver program evaluation and quality improvement, and waiver provider licensure/certification, including HCBS Administrator, two HCBS program managers, two HCBS assistant managers, and the Quality Improvement Coordinator.

- ii. Describe the process to periodically evaluate, as appropriate, the quality improvement strategy.

The PRC and Division evaluate the Quality Improvement Strategy. Evaluation of the Quality Improvement Strategy includes a review of:

- The measures and processes used to determine that each waiver assurance is met during the period that the waiver is in effect (discovery);
- The measures and processes employed to correct identified problems (remediation);
- The roles and responsibilities of the parties involved in measuring performance and making improvements;
- The processes employed to aggregate and analyze trends in the identification and remediation of problems;
- The processes employed to establish priorities, develop strategies for, and assess implementation of system improvements (system improvement);
- The process and timelines for compiling the information and communicating to waiver participants, families, service providers, other interested parties, and the public;
- The frequency and processes used to evaluate and revise the QIS; and
- How and by whom information about performance is used to identify and prioritize areas for system improvement;

Performance measures are also reviewed annually for face validity and reliability as part of the CMS 372 Report generation and submission. Waiver amendments are submitted during the waiver period to update performance measures and to modify the Quality Improvement Strategy as necessary.

## Appendix H: Quality Improvement Strategy (3 of 3)

### 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*):

- No
- Yes (*Complete item H.2b*)

b. Specify the type of survey tool the state uses:

- HCBS CAHPS Survey :
- NCI Survey :
- NCI AD Survey :
- Other (*Please provide a description of the survey tool used*):

## Appendix I: Financial Accountability

### I-1: Financial Integrity and Accountability

**Financial Integrity.** Describe the methods that are employed to ensure the integrity of payments that have been made for waiver services, including: (a) requirements concerning the independent audit of provider agencies; (b) the financial audit program that the state conducts to ensure the integrity of provider billings for Medicaid payment of waiver services, including the methods, scope and frequency of audits; and, (c) the agency (or agencies) responsible for conducting the financial audit program. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

*(a) Pursuant to 2 CFR §200.502(i), Medicaid payments to a sub-recipient for providing patient care services to Medicaid-eligible individuals are not considered federal awards unless a state requires the funds to be treated as awards expended because reimbursement is made on a cost-reimbursement basis. Waiver service providers are reimbursed on a fee-for-service basis according to a standard fee schedule and are therefore not subject to an independent audit.*

*(b) All claims for reimbursement are submitted to the Benefits Management System (BMS) for processing. The BMS is designed to meet federal certification requirements for claims processing, and submitted claims are adjudicated against BMS edits prior to payment. Providers must maintain records which document the services provided and substantiate the claims submitted for reimbursement for a minimum of six years. Records must be maintained longer than six years as necessary to resolve any pending matters such as an ongoing audit or litigation.*

*The Division's Program Integrity Unit conducts scheduled and unscheduled post-payment audits on continuous and ongoing basis. Audits may consist of a desk and/or on-site review of provider records to evaluate veracity and integrity of the provider claims for reimbursement. A statistically valid, random sampling methodology (95% confidence interval with +/- 5% margin of error) is used to identify the scope of any given audit. Audits may be focused on a specific service provider or on a broader group of service providers within an enrollment taxonomy/type prioritized by the Program Integrity Unit for review. Providers and/or claims may also be selected for an audit when identified as a statistical outlier.*

*At the conclusion of an audit conducted by the Program Integrity Unit, there may be up to three (concurrent) outcomes. All outcomes are communicated to the providers via certified mail (as outlined in Chapter 16 of the Rules and Regulations for Medicaid).*

*1) A final audit report will be issued to the provider, this report will list all findings and requirements for the provider to develop a corrective action plan or quality improvement plan. These corrective action or quality improvement plans are reviewed and approved by the Program Integrity Unit and compliance is monitored at three and six months post implementation.*

*2) There may be monetary findings which result in the initiation of the overpayment recovery process. Overpayments are recovered by the Division's Program Integrity Unit. Providers may return overpayments in full by check or by entering into a legally binding payment plan agreement in order to return overpayments in installment payments according to the timeline and terms established by that agreement. The Division may also use the BMS to impose a credit balance on the provider's account and deduct all or a portion of the provider's future claims until the overpayments have been fully recovered. Federal Financial Participation (FFP) reimbursement and accounting is managed by the Program Integrity Unit in collaboration with the Wyoming Department of Health, Fiscal Services Unit. The Program Integrity Unit uses the Division's Fraud, Waste, and Abuse information system to track identified overpayments, join them with BMS claims data, and calculate the associated FFP amounts. The Program Integrity Unit shares this information with the Fiscal Services Unit which then reduces the FFP received by the Division through a CMS 64 Report adjustment in order to refund the federal share of overpayments.*

*3) A law enforcement referral may be made to the Medicaid Fraud Control Unit or other law enforcement agency. Each of these outcomes are monitored by the Program Integrity Unit.*

*Claims submitted for reimbursement of services delivered under the participant-directed service delivery option are subject to the same auditing standards as those delivered under the agency-based service delivery option.*

*The Division has implemented an EVV solution for participant-directed personal support services. However, an EVV system has not yet been implemented for agency-based personal care services as required by the 21st Century Cures Act. The Division has applied for and was granted a Good Faith Effort extension in November of 2019. The EVV solution has been procured and expected to be operational in October of 2021. Community Choices Waiver services which will be subject to EVV requirements include:*

- Personal Support Services*
- Home Health Aide*
- Skilled Nursing*
- Respite (In-Home)*

*(c) The Wyoming State Auditor's Office is responsible for conducting the single statewide audit under the provisions of the Single Audit Act.*

**Appendix I: Financial Accountability**

**Quality Improvement: Financial Accountability**

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

**a. Methods for Discovery: Financial Accountability Assurance:**

**The state must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program.**

**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**

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:**

**I.a3 Number and Percent of Beneficiary Verification (BV) letters for waiver services referred to the Division which were investigated according to Division procedures. Numerator: Number of BV letters for waiver services referred to the Division which were investigated according to Division procedures. Denominator: Total number of BV letters for waiver services referred to the Division.**

**Data Source (Select one):**

**Record reviews, off-site**

If 'Other' is selected, specify:

<b>Responsible Party for data collection/generation (check each that applies):</b>	<b>Frequency of data collection/generation (check each that applies):</b>	<b>Sampling Approach (check each that applies):</b>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify:	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group:

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

**Data Aggregation and Analysis:**

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

**Performance Measure:**

**I.a2 Number and Percent of claim lines reimbursed using the correct code as specified in the CCW Fee Schedule. Numerator: Number of claim lines reimbursed using the correct code as specified in the CCW Fee Schedule. Denominator: Total number of claim lines.**

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Medicaid Management Information System (MMIS)**

<i>Responsible Party for data collection/generation (check each that applies):</i>	<i>Frequency of data collection/generation (check each that applies):</i>	<i>Sampling Approach (check each that applies):</i>
<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	<input checked="" type="checkbox"/> <i>100% Review</i>
<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	<input type="checkbox"/> <i>Less than 100% Review</i>
<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>	<input type="checkbox"/> <i>Representative Sample</i> <i>Confidence Interval =</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> <i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <i>Annually</i>	<input type="checkbox"/> <i>Stratified</i> <i>Describe Group:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> <i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

**Data Aggregation and Analysis:**

<i>Responsible Party for data aggregation and analysis (check each that applies):</i>	<i>Frequency of data aggregation and analysis (check each that applies):</i>
<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>
<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>
<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>
<input type="checkbox"/> <i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <i>Annually</i>

<b>Responsible Party for data aggregation and analysis (check each that applies):</b>	<b>Frequency of data aggregation and analysis (check each that applies):</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**Performance Measure:**

**I.a1 Number and Percent of claim lines reimbursed within prior authorization unit limits. Numerator: Number of claim lines reimbursed within prior authorization limits. Denominator: Total number of claim lines.**

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Medicaid Management Information System (MMIS)**

<b>Responsible Party for data collection/generation (check each that applies):</b>	<b>Frequency of data collection/generation (check each that applies):</b>	<b>Sampling Approach (check each that applies):</b>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input checked="" type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> <b>Other</b> Specify:	

	<div style="border: 1px solid black; width: 100%; height: 30px; margin: 0 auto;"></div>	
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**Data Aggregation and Analysis:**

<b>Responsible Party for data aggregation and analysis (check each that applies):</b>	<b>Frequency of data aggregation and analysis (check each that applies):</b>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; width: 100%; height: 30px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; width: 100%; height: 30px; margin-top: 5px;"></div>

**Performance Measure:**

**I.a5 The Number and Percent of paid claims for personal care services (PCS) that include proper electronic documentation verifying the service was rendered. Numerator: The Number of paid claims for PCS that include electronic documentation verifying the service was rendered Denominator: Total Number of paid claims for PCS**

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Medicaid Management Information System (MMIS)**

<b>Responsible Party for data collection/generation (check each that applies):</b>	<b>Frequency of data collection/generation (check each that applies):</b>	<b>Sampling Approach (check each that applies):</b>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b>

		Confidence Interval =  <input type="text"/>
<input type="checkbox"/> <i>Other</i> Specify:  <input type="text"/>	<input type="checkbox"/> <i>Annually</i>	<input type="checkbox"/> <i>Stratified</i> Describe Group:  <input type="text"/>
	<input checked="" type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Other</i> Specify:  <input type="text"/>
	<input type="checkbox"/> <i>Other</i> Specify:  <input type="text"/>	

**Data Aggregation and Analysis:**

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

**Performance Measure:**

***La4 Number and Percent of monthly service plan monitoring records that include the***

*case manager's confirmation that services were rendered according to the service plan. N: Number of monthly service plan monitoring records that include the case manager's confirmation that services were rendered according to the service plan. D: Total number of monthly service plan monitoring records.*

*Data Source (Select one):*

**Other**

*If 'Other' is selected, specify:*

**Case management information system data**

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

**Data Aggregation and Analysis:**

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

<b>Responsible Party for data aggregation and analysis (check each that applies):</b>	<b>Frequency of data aggregation and analysis (check each that applies):</b>
<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>
<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>
<input type="checkbox"/> <i>Other</i> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <i>Annually</i>
	<input type="checkbox"/> <i>Continuously and Ongoing</i>
	<input type="checkbox"/> <i>Other</i> Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

**b. Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.**

**Performance Measures**

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

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

**Performance Measure:**

**I.b1 Number and Percent of claim lines reimbursed in accordance with the current rate methodology. Numerator: Number of claim lines reimbursed in accordance with the current rate methodology. Denominator: Total number of claim lines reimbursed.**

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Medicaid Management Information System (MMIS)**

<b>Responsible Party for data collection/generation (check each that applies):</b>	<b>Frequency of data collection/generation (check each that applies):</b>	<b>Sampling Approach (check each that applies):</b>
<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	<input checked="" type="checkbox"/> <i>100% Review</i>
<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	<input type="checkbox"/> <i>Less than 100% Review</i>

<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>	<input type="checkbox"/> <i>Representative Sample</i> <i>Confidence Interval =</i>  <input type="text"/>
<input type="checkbox"/> <i>Other</i> <i>Specify:</i>  <input type="text"/>	<input type="checkbox"/> <i>Annually</i>	<input type="checkbox"/> <i>Stratified</i> <i>Describe Group:</i>  <input type="text"/>
	<input checked="" type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Other</i> <i>Specify:</i>  <input type="text"/>
	<input type="checkbox"/> <i>Other</i> <i>Specify:</i>  <input type="text"/>	

**Data Aggregation and Analysis:**

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

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

**b. Methods for Remediation/Fixing Individual Problems**

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

Individual deficiencies identified through regular monitoring activities or through waiver performance measures are remediated by the Division staff through the provision of technical assistance, the imposition of a corrective action or sanction, referrals to the appropriate regulatory/law enforcement agencies, and/or the suspension or termination of a Medicaid provider agreement.

In accordance with CMS guidance issued March 12, 2014, any performance measure with less than an 86% success rate warrants further analysis to determine the cause. The Division conducts a root cause analysis to identify contributing factors and determine underlying causes of deficiency for any measure with less than an 86% success rate. Based upon the findings of the root cause analysis, the Division may initiate a Quality Improvement Project (QIP). The QIP includes, at minimum:

- A description of remedial actions to be taken (e.g. training, revised policies/procedures, additional staff, different staffing patterns, provider/vendor corrective action);
- A timeline of remedial actions to be taken;
- The individuals responsible for effectuating remedial actions; and,
- The frequency with which performance/compliance is measured.

The HCBS Quality Improvement Committee assures accountability to the Division's stakeholders and provides oversight of quality improvement activities, including regular monitoring of QIP effectiveness.

ii. Remediation Data Aggregation

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

<b>Responsible Party</b> (check each that applies):	<b>Frequency of data aggregation and analysis</b> (check each that applies):
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input type="checkbox"/> <b>Other</b> Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

**c. Timelines**

When the state does not have all elements of the quality improvement strategy in place, provide timelines to design

*methods for discovery and remediation related to the assurance of Financial Accountability that are currently non-operational.*

**No**

**Yes**

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

## ***Appendix I: Financial Accountability***

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### ***I-2: Rates, Billing and Claims (1 of 3)***

***a. Rate Determination Methods.*** *In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).*

*The Division uses a prospective, fee-for-service reimbursement structure for all Community Choices Waiver services. That is, the maximum reimbursement amounts for waiver services are established by the Division prior to service delivery, and each service is reimbursed separately according to the Division's established fee schedule.*

*New participants are notified of rates when they apply. Participants are notified of the rates through their case manager. Case managers are notified about the specific details of all rate changes and are required to notify the participant of the changes, discuss how the changes may impact the participant, and address any questions or concerns the participant may have. The Community Choices Waiver fee schedule is posted publicly and is available to participants and providers on the Division's website at: <https://health.wyo.gov/healthcarefin/hcbs/servicesandrates>.*

*A cost-informed rate determination methodology is utilized to recognize reasonable and necessary provider costs and to reflect participant needs and the scope of the covered service. Additionally, the Division's rate determination methods are intended to be consistent with the efficiency, economy, and quality of care; be sufficient to enlist enough providers so that services under the waiver are available to participants at least to the extent that those services are available to the general population; minimize the provider reporting and survey burden; and increase transparency in the rate setting process. The Division reviews the rate setting methodology every 2-4 years. The Division's rate-setting methods for participant-directed services do not differ from the methods used to determine agency-based service rates, and service rates do not differ by provider or geographic region.*

*The Division's rate model employs an independent cost factor build-up approach to establish rates for the following waiver services:*

- Adult Day Services*
- Case Management*
- Home Health Aide*
- Personal Support Services*
- Respite (In-Home and Assisted Living Facility)*
- Skilled Nursing*
- Assisted Living Facility (ALF) Services*
- Home-Delivered Meals (hot)*
- Non-Medical Transportation (Per Trip)*

*The Case Management - Certificate rate, and Transition Intensive Case Management - Certificate rate, includes a 5% incentive above the base rate to account for the expertise the case manager gains by completing the Division sponsored training that addresses person-centered planning and case management best practices.*

*The independent cost factor build-up approach identifies and calculates the direct and indirect cost factors associated with the provision of these services. To estimate cost factors, credible sources such as the United States Bureau of Labor Statistics wage data and consumer price/producer indices are relied upon to the maximum extent possible. The Division's rate model combines the estimated cost factors to calculate the maximum allowable reimbursement rate for each waiver service.*

*The Division's rate model employs a market rates approach for the following waiver services:*

- Home-Delivered Meals (Frozen)*
- Personal Emergency Response Systems*
- Non-Medical Transportation (Multipass)*
- Transition Setup*
- Environmental Modification Services*

*For these commodity-like services which do not rely on participant interaction with a direct caregiver, the Division's rate model relies on data from a market survey to determine a maximum allowable reimbursement rate for the service when the market has already determined the rate.*

*In accordance with 42 CFR §441.310(a)(2), the Division's rate setting methodology for assisted living facility services excludes costs for room and board. Waiver participants are responsible for reimbursing assisted living facilities for room*

and board costs pursuant to the provisions of the participant's lease or similarly enforceable residential agreement. Rates for respite services delivered in an assisted living facility were determined by adding a daily allowance for room and board to the standard rates for assisted living facility services. The daily room and board allowance was calculated by dividing the monthly Social Security Income Federal Benefit Rate (less a \$50.00 personal needs allowance) by 30.42. Rates for respite services delivered in a nursing care facility were determined using a statewide weighted average of daily reimbursements for nursing facility services as of January 1, 2020.

The Division had not conducted a comprehensive review of or rebased Community Choices Waiver service rates since the program was last renewed in 2016. In preparation for Community Choices Waiver program renewal, the Division retained the services of Guidehouse Consulting, Inc. to assist the Division in the reexamination of its rate determination methods and to facilitate a stakeholder engagement and public input process. Beginning in January 2020, Guidehouse provided expert research and consulting services to:

- Identify the potential cost factors and research credible data sources to estimate those cost factors;
- Determine those cost factors for which the provider survey is the most reliable/credible data source;
- Design and administer a provider survey;
- Incorporate cost factor research into a standard rate model;
- Facilitate advisory group meetings; and
- Summarize its findings in a rate study report.

An advisory group of waiver service providers from various geographic regions, service types, and agency sizes was convened in order to solicit feedback from a broad provider perspective. The group met regularly from March through October of 2020 and was used as a secondary data source to gather information on cost factors which cannot be determined using standard research methods, to validate rate model assumptions, to advise the Division on the necessary provider cost factors, and to recommend reimbursement policies which are consistent with typical practice and do not pose unnecessary obstacles to achieving the stated purpose of the waiver service.

In August 2020, all current and prospective waiver service providers were invited to participate in a cost survey to gather information regarding provider costs for delivering waiver services. The data from the cost survey was used as a primary data source to estimate certain cost factors and as a secondary source to validate other cost factor estimates determined through other data sources.

Also in August 2020, the Governor's Office and the Wyoming Department of Health announced difficult budget reduction actions necessary to respond to historic declines in state revenues. Reimbursement rates for most Medicaid services were reduced by 2.5%. The Governor's supplemental budget proposal submitted to the Wyoming Legislature in November 2020 also included an additional 2.5% reduction in those Medicaid service rates. In recognition of pending rate study results and to ensure continuity of care and access to critical community-based services, Community Choices Waiver service reimbursement rates were initially excluded from those budget reduction actions.

The rate study was completed and the summary report was finalized in November 2020. The Division accepts the report findings as a credible estimation of reimbursement rates which assure that its payments for services are consistent with the efficiency, economy, and quality of care and that those payments are sufficient to enlist enough providers so that waiver services are available to participants at least to the extent that those services are available to the general population. Therefore, the Division determined that the rates recommended by the Guidehouse report would be used as the basis for Community Choices Waiver rate rebasing. However, those services recommended by the study to receive significant increases were reduced by 5% in support of the Division's responsibility to deliver on its budget reduction obligations. Those services recommended by the study to receive a reduction or modest increase were not adjusted to include the 5% reduction.

The waiver's rate determination methods and the rebased maximum allowable reimbursement rates were effective upon the waiver program's renewal on July 1, 2021. Additional public input on the rate setting methods was obtained through the waiver renewal application process as described in Main section 6-I of WY.0236.R06.00, and notice of significant changes to the Division's methods and standards for setting payment rates was given on February 28, 2021 in accordance with 42 CFR §447.205.

In June - August 2022, the Division contracted with Guidehouse to assist with determining reimbursement rates for five new services with an effective date of April 1, 2023. Two of the new services, Transition Setup and Environmental

*Modification Services, align with the market rates approach described above. The Division's rate determination approach for the remaining two services relied upon aligning new services with similar, existing services for the following waiver services:*

- *Homemaker Services*
- *Transition Intensive Case Management*

*The rates for Homemaker Services was determined by aligning with similar services (i.e., homemaker rate) within the existing Comprehensive and Supports waivers due to similarities in service definitions and provider expectations. The existing Comprehensive and Supports waiver rates had been recently reviewed and updated in a SFY2023 Rate Study. The rate for Transition Intensive Case Management was determined by aligning with CCW's existing case management rate due to similarities in service definitions and provider expectations, which was recently reviewed as part of a SFY2022 Rate Study. Additional public input on the rate setting methods was obtained through the waiver amendment process as described in Main Section 6-I.*

*The rate for Companion Services will be utilizing is same rate as established in the WY1060 and WY1061 waiver.*

- 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:*

*Waiver services delivered under the participant-directed service delivery option are approved by the participant/designated employer of record and submitted to the Division's contracted Financial Management Services (FMS) agency for reimbursement. The FMS agency conducts payroll activities as described in Appendix E of this waiver application and submits claims for reimbursement directly to the Division's Benefits Management System (BMS).*

*For all other waiver services, claims for reimbursement are submitted by the service provider directly to the BMS and are not routed through any other intermediary entity.*

## **Appendix I: Financial Accountability**

### **I-2: Rates, Billing and Claims (2 of 3)**

- c. Certifying Public Expenditures (select one):**

- No. state or local government agencies do not certify expenditures for waiver services.**
- Yes. state or local government agencies directly expend funds for part or all of the cost of waiver services and certify their state government expenditures (CPE) in lieu of billing that amount to Medicaid.**

**Select at least one:**

- Certified Public Expenditures (CPE) of State Public Agencies.**

*Specify: (a) the state government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR § 433.51(b).(Indicate source of revenue for CPEs in Item I-4-a.)*

- Certified Public Expenditures (CPE) of Local Government Agencies.**

*Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the state verifies*

*that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR § 433.51(b). (Indicate source of revenue for CPEs in Item I-4-b.)*

**Appendix I: Financial Accountability**

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**I-2: Rates, Billing and Claims (3 of 3)**

**d. Billing Validation Process.** Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

All waiver services must be included in the participant's service plan. Participant service plans are maintained in the Division's case management information system which exchanges data with the Medicaid Management Information System (MMIS). The MMIS edits the service plan data for participant Medicaid eligibility, waiver program enrollment status, maximum allowable reimbursement rates, service provider enrollment status, and any other service line authorization edits and generates a prior authorization file. Once approved, service prior authorization data is transmitted from the MMIS to the Division's case management information system to confirm prior authorization of services included in the participant service plan. Providers are notified of waiver service prior authorization via an online provider portal and/or by mail.

All provider claims for reimbursement are submitted to the MMIS for processing. The MMIS is designed to meet federal certification requirements for claims processing, and submitted claims are adjudicated against MMIS edits prior to payment.

(a) An MMIS edit ensures that the waiver participant is eligible for Medicaid for the date(s) of service included on the claim. Claims submitted on behalf of individuals ineligible for Medicaid are denied.

(b) The MMIS validates the prior authorization of submitted claims. Claims for services submitted without prior authorization are denied.

(c) Providers must attest to the veracity of claims submitted for Medicaid reimbursement. Waiver services are subject to the same audit and post payment review activities as any other Medicaid service, and the accuracy of claim information is verified via the post payment audit processes described in Appendix I-1. These processes meet the program integrity standards established by 42 CFR §455, et seq., including the beneficiary verification procedures described at 42 CFR §455.20.

The Division's Fiscal Agent sends beneficiary verification letters to a sample of Medicaid members on a monthly basis. These letters request that the member review the services described on the letter and verify they were actually received by the member. The Fiscal Agent requests documentation from providers of those services identified by the member as not received. For those services which cannot be verified by provider documentation, the Fiscal Agent makes a referral to Division staff for further investigation. Division staff review the information provided and may contact the member and/or provider for more information. Those services which cannot be verified following Division staff review are referred to the Program Integrity Unit for potential recovery of overpayments.

Overpayments are recovered by the Division's Program Integrity Unit. Providers may return overpayments in full by check or by entering into a legally binding payment plan agreement in order to return overpayments in installment payments according to the timeline and terms established by that agreement. The Division may also use the MMIS to impose a credit balance on the provider's account and deduct all or a portion of the provider's future claims until the overpayments have been fully recovered. Federal Financial Participation (FFP) reimbursement and accounting is managed by the Program Integrity Unit in collaboration with the Wyoming Department of Health, Fiscal Services Unit.

The Program Integrity Unit uses the Division's Fraud, Waste, and Abuse information system to track identified overpayments, join them with MMIS claims data, and calculate the associated FFP amounts. The Program Integrity Unit shares this information with the Fiscal Services Unit which then reduces the FFP received by the Division through a CMS 64 Report adjustment in order to refund the federal share of overpayments.

Electronic Visit Verification (EVV) is required for companion services, homemaker services, personal support services, respite, and skilled nursing to ensure payments are made only for services rendered. Providers billing services for which EVV is required must submit claims through the State's procured EVV system, with the exception of participant-directed services which is covered below. The information captured is as follows:

- \* Type of service provided;
- \* Participant receiving the service;
- \* Caregiver providing the service;
- \* Date of service;
- \* Location of service;
- \* Start time of the service (Check-in); and
- \* Time the service ends (Check-out).

The participant attests to the visit through the caregiver's mobile device on the vendor system's mobile app or they can call the Interactive Voice Response (IVR) Line if caregivers do not have a smartphone. Participants can also review their service history within the vendor's member portal and attest to visits as another option. Requiring billing through the use of EVV in combination with the required data elements that are collected for each service instance strengthens the State's accountability efforts and provides greater visibility into the details of services rendered.

For participant directed services, EVV is used to verify information during the shift submission and pre-payment validation process for Payroll by the FMS. If there are shift entry exceptions noted, they are highlighted within the FMS portal. Based on the EVV compliance policy, if there are over a certain number of exceptions within a month, there are increasing levels of technical support provided beginning with mandatory refresher training and client support, through recommendation by the program of removal of the employer or employee from their role if there are continued issues noted.

(See Main B for additional information)

**e. Billing and Claims Record Maintenance Requirement.** Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR § 92.42.

**Appendix I: Financial Accountability**

**I-3: Payment (1 of 7)**

**a. Method of payments -- MMIS (select one):**

- **Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).**
- **Payments for some, but not all, waiver services are made through an approved MMIS.**

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- **Payments for waiver services are not made through an approved MMIS.**

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system(s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- **Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.**

Describe how payments are made to the managed care entity or entities:

**Appendix I: Financial Accountability**

**I-3: Payment (2 of 7)**

**b. Direct payment.** In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (select at least one):

- The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.
- The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.
- The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

- Providers are paid by a managed care entity or entities for services that are included in the state's contract with the entity.

Specify how providers are paid for the services (if any) not included in the state's contract with managed care entities.

**Appendix I: Financial Accountability**

**I-3: Payment (3 of 7)**

**c. Supplemental or Enhanced Payments.** Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to states for expenditures for services under an approved state plan/waiver. Specify whether supplemental or enhanced payments are made. Select one:

- No. The state does not make supplemental or enhanced payments for waiver services.
- Yes. The state makes supplemental or enhanced payments for waiver services.

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the state to CMS. Upon request, the state will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

**Appendix I: Financial Accountability**

**I-3: Payment (4 of 7)**

*d. Payments to state or Local Government Providers. Specify whether state or local government providers receive payment for the provision of waiver services.*

- No. State or local government providers do not receive payment for waiver services. Do not complete Item I-3-e.*
- Yes. State or local government providers receive payment for waiver services. Complete Item I-3-e.*

*Specify the types of state or local government providers that receive payment for waiver services and the services that the state or local government providers furnish:*

*County Public Health Nursing Agencies may be enrolled and reimbursed as a provider of any waiver service for which that agency is willing and qualified pursuant to the standards and processes detailed in Appendix C of this waiver application.*

**Appendix I: Financial Accountability**

**I-3: Payment (5 of 7)**

*e. Amount of Payment to State or Local Government Providers.*

*Specify whether any state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the state recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. Select one:*

- The amount paid to state or local government providers is the same as the amount paid to private providers of the same service.*
- The amount paid to state or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.*
- The amount paid to state or local government providers differs from the amount paid to private providers of the same service. When a state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the state recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.*

*Describe the recoupment process:*

**Appendix I: Financial Accountability**

**I-3: Payment (6 of 7)**

*f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. Select one:*

- Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.*
- Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.*

*Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the state.*

**Appendix I: Financial Accountability****I-3: Payment (7 of 7)****g. Additional Payment Arrangements****i. Voluntary Reassignment of Payments to a Governmental Agency. Select one:**

- No. The state does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.**
- Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR § 447.10(e).**

Specify the governmental agency (or agencies) to which reassignment may be made.

**ii. Organized Health Care Delivery System. Select one:**

- No. The state does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR § 447.10.**
- Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR § 447.10.**

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

**iii. Contracts with MCOs, PIHPs or PAHPs.**

- 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 section 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 section 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 section 1915(b)/section 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 section 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 section 1115/section 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 section 1115 waiver specifies the types of health plans that are used and how payments to these plans are made.*
- *If the state uses more than one of the above contract authorities for the delivery of waiver services, please select this option.*

*In the text box below, indicate the contract authorities. In addition, if the state contracts with MCOs, PIHPs, or PAHPs under the provisions of section 1915(a)(1) of the Act to furnish waiver 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 section 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.*

**Appendix I: Financial Accountability**

**I-4: Non-Federal Matching Funds (1 of 3)**

**a. State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.** *Specify the state source or sources of the non-federal share of computable waiver costs. Select at least one:*

- Appropriation of State Tax Revenues to the State Medicaid Agency**
- Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.**

*If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the state entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:*

- Other State Level Source(s) of Funds.**

*Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:*

**Appendix I: Financial Accountability**

**I-4: Non-Federal Matching Funds (2 of 3)**

**b. Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. Select One:

**Not Applicable.** There are no local government level sources of funds utilized as the non-federal share.

**Applicable**

Check each that applies:

**Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

**Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the state Medicaid agency or fiscal agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

**Appendix I: Financial Accountability**

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**I-4: Non-Federal Matching Funds (3 of 3)**

**c. Information Concerning Certain Sources of Funds.** Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. Select one:

**None of the specified sources of funds contribute to the non-federal share of computable waiver costs**

**The following source(s) are used**

Check each that applies:

**Health care-related taxes or fees**

**Provider-related donations**

**Federal funds**

For each source of funds indicated above, describe the source of the funds in detail:

**Appendix I: Financial Accountability**

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**I-5: Exclusion of Medicaid Payment for Room and Board**

**a. Services Furnished in Residential Settings.** Select one:

- *No services under this waiver are furnished in residential settings other than the private residence of the individual.*
- *As specified in Appendix C, the state furnishes waiver services in residential settings other than the personal home of the individual.*

**b. Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** *The following describes the methodology that the state uses to exclude Medicaid payment for room and board in residential settings:*

*The Division's rate setting methodology for assisted living facility services excludes costs for room and board. Waiver participants are responsible for reimbursing assisted living facilities for room and board costs pursuant to the provisions of the participant's lease or similarly enforceable residential agreement.*

*Reimbursement for respite services provided on a temporary basis in an approved assisted living or nursing care facility include costs for room and board in accordance with 42 CFR §441.310(a)(2).*

## Appendix I: Financial Accountability

### I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

**Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver.** *Select one:*

- *No. The state does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.*
- *Yes. Per 42 CFR § 441.310(a)(2)(ii), the state will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The state describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.*

*The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:*

## Appendix I: Financial Accountability

### I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

**a. Co-Payment Requirements.** *Specify whether the state imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. Select one:*

- *No. The state does not impose a co-payment or similar charge upon participants for waiver services.*
- *Yes. The state imposes a co-payment or similar charge upon participants for one or more waiver services.*

**i. Co-Pay Arrangement.**

*Specify the types of co-pay arrangements that are imposed on waiver participants (check each that applies):*

**Charges Associated with the Provision of Waiver Services** *(if any are checked, complete Items I-7-a-ii through I-7-a-iv):*

- Nominal deductible*
- Coinsurance*
- Co-Payment*
- Other charge*

*Specify:*

### ***Appendix I: Financial Accountability***

#### ***I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)***

***a. Co-Payment Requirements.***

***ii. Participants Subject to Co-pay Charges for Waiver Services.***

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***Answers provided in Appendix I-7-a indicate that you do not need to complete this section.***

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### ***Appendix I: Financial Accountability***

#### ***I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)***

***a. Co-Payment Requirements.***

***iii. Amount of Co-Pay Charges for Waiver Services.***

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***Answers provided in Appendix I-7-a indicate that you do not need to complete this section.***

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### ***Appendix I: Financial Accountability***

#### ***I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)***

***a. Co-Payment Requirements.***

***iv. Cumulative Maximum Charges.***

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***Answers provided in Appendix I-7-a indicate that you do not need to complete this section.***

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### ***Appendix I: Financial Accountability***

#### ***I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)***

***b. Other State Requirement for Cost Sharing.*** *Specify whether the state imposes a premium, enrollment fee or similar cost sharing on waiver participants. Select one:*

- No. The state does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.***
- Yes. The state imposes a premium, enrollment fee or similar cost-sharing arrangement.***

*Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:*

**Appendix J: Cost Neutrality Demonstration**

**J-1: Composite Overview and Demonstration of Cost-Neutrality Formula**

**Composite Overview.** Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

**Level(s) of Care: Nursing Facility**

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	14157.72	6142.03	20299.75	57595.44	2929.31	60524.75	40225.00
2	14152.12	6216.96	20369.08	62957.57	3281.12	66238.69	45869.61
3	14151.93	6292.81	20444.74	68818.92	3675.18	72494.10	52049.36
4	14150.48	6369.58	20520.06	75225.97	4116.57	79342.54	58822.48
5	14146.21	6447.29	20593.50	82229.50	4610.97	86840.47	66246.97

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (1 of 9)**

**a. Number Of Unduplicated Participants Served.** Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

**Table: J-2-a: Unduplicated Participants**

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care: Nursing Facility	
Year 1	2891		2891
Year 2	2894		2894
Year 3	2897		2897
Year 4	2900		2900
Year 5	2903		2903

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (2 of 9)**

**b. Average Length of Stay.** Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

To derive the Average Length of Stay (ALOS) estimates, the Division examined annual CMS 372(S) report data for the preceding four WY state fiscal years ending on June 30, 2025, reviewed its overall enrollment growth estimates, and calculated and analyzed the average annual growth rates for the unduplicated participant count and the total days of enrollment using a standard linear regression.

The Division used the average annual ALOS growth rate (0.99%) as the basis for the ALOS growth trend.

Data source: The Division has developed a custom CMS 372(s) report template using Deloitte. The report template extracts Billing Management System (BMS) claims and enrollment data, compiles the data into the standard CMS 372(S) financial report format, can be easily adapted for ad-hoc reporting or custom reporting periods, and is updated regularly to incorporate program modifications (e.g. changes in covered services, procedure coding, or units of reimbursement). However, the data used in the derivation of these estimates differs from the data submitted through the annual CMS 372(S) lag reporting process in order to adjust for and incorporate historical program changes (e.g. the merger of the Long-Term Care and Assisted Living Facility waiver programs).

## Appendix J: Cost Neutrality Demonstration

### J-2: Derivation of Estimates (3 of 9)

**c. Derivation of Estimates for Each Factor.** Provide a narrative description for the derivation of the estimates of the following factors.

**i. Factor D Derivation.** The estimates of Factor D for each waiver year are located in Item J-2-d. The basis and methodology for these estimates is as follows:

To inform the Division's estimates for the service utilization and cost factors associated with each waiver service, the Division examined historical growth rates, the proportion of the total waiver population that utilized each service, graphical trends, and other relevant data sources (e.g. as the utilization rates of comparable services in other states). Once the historical data was analyzed, the Division selected trend factors to independently forecast the number of users, the number of units per user, and the average cost per unit for each service. These forecasted factors were then multiplied together to calculate the total estimated expenditures for each service. The total expenditures for each service were added and then divided by the forecasted unduplicated participant count to derive the Factor D estimates.

The average annual growth rate for the five fiscal years ending June 30, 2025 was generally used as the basis for trending the number of users and units per user. For services with a single, fixed reimbursement rate, the Division generally selected a .104% growth trend as the reimbursement rates for this waiver were rebased in preparation for this renewal application and are not expected to change in the five year waiver period.

Data source: The Division has developed a custom CMS 372(s) report template using Deloitte. The report template extracts Billing Management System (BMS) claims and enrollment data, compiles the data into the standard CMS 372(S) financial report format, can be easily adapted for ad-hoc reporting or custom reporting periods, and is updated regularly to incorporate program modifications (e.g. changes in covered services, procedure coding, or units of reimbursement). The Division used annual CMS 372(S) reports for the five state fiscal years ending June 30, 2025 as the primary data source for these estimates. However, the data used to calculate these estimates differs from the data submitted through the annual CMS 372(S) lag reporting process in order to adjust for and incorporate historical program changes.

**ii. Factor D' Derivation.** The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

*To inform the estimates for Factor D', the Division analyzed historical growth rates of non-waiver Medicaid costs using CMS 372(S) Report data for the five state fiscal years ending June 30, 2025. The Division's forecast model independently forecasts the unduplicated waiver participant count and their associated non-waiver service costs for each waiver year. The Division used an annual growth trend of 1.22% based on the average annual growth rate derived from the 372(S) report data.*

*To calculate these estimates, the Division's selected growth trends were applied to the data or estimates from the previous year using the standard linear regression function.*

*Factor D' estimates do not include costs for prescribed drugs furnished to those waiver participants dually eligible for Medicare and Medicaid.*

*Data source: The Division has developed a custom CMS 372(s) report template using Deloitte. The report template extracts Billing Management System (BMS) claims and enrollment data, compiles the data into the standard CMS 372(S) financial report format, can be easily adapted for ad-hoc reporting or custom reporting periods, and is updated regularly to incorporate program modifications (e.g. changes in covered services, procedure coding, or units of reimbursement). The Division used annual CMS 372(S) reports for the five state fiscal years ending June 30, 2025 as the primary data source for these estimates. However, the data used to calculate these estimates differs from the data submitted through the annual CMS 372(S) lag reporting process in order to adjust for and incorporate historical program changes.*

- iii. Factor G Derivation.** *The estimates of Factor G for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

*To inform its estimates for Factor G, the Division analyzed historical growth rates of institutional costs for nursing facility residents using CMS 372(S) Report data for the five state fiscal years ending June 30, 2025. To forecast the total annual institutional costs, the Division used an annual growth trend of 9.31% equal to the average annual growth rate for the four state fiscal years ending June 30, 2025.*

*To calculate these estimates, the Division's selected growth trends were applied to the data or estimates from the previous year using the standard linear regression function.*

*Data source: The Division has developed a custom CMS 372(s) report template using Deloitte. The report template extracts Billing Management System (BMS) claims and enrollment data, compiles the data into the standard CMS 372(S) financial report format, can be easily adapted for ad-hoc reporting or custom reporting periods, and is updated regularly to incorporate program modifications (e.g. changes in covered services, procedure coding, or units of reimbursement). The Division used annual CMS 372(S) reports for the five state fiscal years ending June 30, 2025 as the primary data source for these estimates. However, the data used to calculate these estimates differs from the data submitted through the annual CMS 372(S) lag reporting process in order to adjust for and incorporate historical program changes.*

- iv. Factor G' Derivation.** *The estimates of Factor G' for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

To inform the estimates for Factor G', the Division analyzed historical growth rates of non-institutional costs for nursing facility residents using CMS 372(S) Report data for the five state fiscal years ending June 30, 2025. The Division used an annual growth trend equal to the average annual growth rate of 12.01%.

To calculate these estimates, the Division's selected growth trends were applied to the data or estimates from the previous year using the standard linear regression function. The total estimated non-institutional costs were then divided by the estimated number of unduplicated nursing facility residents to derive Factor G' estimates. Factor G' estimates do not include costs for prescribed drugs furnished to those waiver participants dually eligible for Medicare and Medicaid.

Data source: The Division has developed a custom CMS 372(s) report template using Deloitte. The report template extracts Billing Management System (BMS) claims and enrollment data, compiles the data into the standard CMS 372(S) financial report format, can be easily adapted for ad-hoc reporting or custom reporting periods, and is updated regularly to incorporate program modifications (e.g. changes in covered services, procedure coding, or units of reimbursement). The Division used annual CMS 372(S) reports for the five state fiscal years ending June 30, 2025 as the primary data source for these estimates. However, the data used to calculate these estimates differs from the data submitted through the annual CMS 372(S) lag reporting process in order to adjust for and incorporate historical program changes.

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (4 of 9)**

**Component management for waiver services.** If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select “manage components” to add these components.

Waiver Services	
Adult Day Services	
Case Management	
Homemaker	
Personal Support Services	
Respite	
Home Health Aide	
Skilled Nursing	
Assisted Living Facility Services	
Assistive Technology	
Companion Services	
Environmental Modification	
Home-Delivered Meals	
Non-Medical Transportation	
Personal Emergency Response System (PERS)	
Transition Intensive Case Management	
Transition Setup Expenses	

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (5 of 9)**

**d. Estimate of Factor D.**

**i. Non-Concurrent Waiver.** Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Adult Day Services Total:</b>						28418.80
Adult Day Services - 15-Minute	15 Minute	5	1198.00	2.37	14196.30	
Adult Day Services - Daily	1 Day	5	50.00	56.89	14222.50	
<b>Case Management Total:</b>						7600784.65
Case Management - Monthly	1 Month	2891	10.50	241.83	7340870.56	
Case Management - 15-Minute	15 Minute	579	37.13	12.09	259914.08	
<b>Homemaker Total:</b>						147556.64
Homemaker	15 Minute	203	112.00	6.49	147556.64	
<b>Personal Support Services Total:</b>						11521744.16
Personal Support Services - Agency Based	15 Minute	487	248.00	8.91	1076114.16	
Personal Support Services - Participant- Directed	15 Minute	650	4229.00	3.80	10445630.00	
<b>Respite Total:</b>						18606.56
Respite - 15-Minute	15 Minute	8	193.00	10.36	15995.84	
Respite - Daily	1 Day	2	3.50	372.96	2610.72	
<b>Home Health Aide Total:</b>						5123538.00
Home Health Aide	15 Minute	942	525.00	10.36	5123538.00	
<b>Skilled Nursing Total:</b>						2316318.96
Skilled Nursing Services - Registered Nurse (RN)	15 Minute	619	138.00	26.12	2231222.64	
Skilled Nursing Services - Licensed Practical Nurse (LPN)	15 Minute	47	96.00	18.86	85096.32	
<b>Assisted Living Facility Services Total:</b>						7750946.91
Assisted Living Facility Services - Standard	1 Day	379	266.00	70.44	7101338.16	
<p>GRAND TOTAL: 40929978.97</p> <p>Total Estimated Unduplicated Participants: 2891</p> <p>Factor D (Divide total by number of participants): 14157.72</p> <p>Average Length of Stay on the Waiver: 312</p>						

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assisted Living Facility Services - Memory Care Unit	1 Day	35	225.00	82.49	649608.75	
<b>Assistive Technology Total:</b>						59444.88
Assistive Technology Equipment	1 Dollar	66	800.00	1.00	52800.00	
Assistive Technology Service	15 Minute	66	4.00	25.17	6644.88	
<b>Companion Services Total:</b>						147556.64
Companion Services	15 Minute	203	112.00	6.49	147556.64	
<b>Environmental Modification Total:</b>						0.00
Environmental Modification - New	Event	0	1.00	5000.00	0.00	
Environmental Modification - Repair	Event	0	0.00	5000.00	0.00	
Environmental Modification - Assessment	Assessment	0	0.00	5000.00	0.00	
<b>Home-Delivered Meals Total:</b>						5254097.76
Home Delivered Meals - Hot	1 Meal	932	232.00	10.65	2302785.60	
Home Delivered Meals - Frozen	1 Meal	1357	276.00	7.88	2951312.16	
<b>Non-Medical Transportation Total:</b>						91196.99
Non-Medical Transportation - 15-Minute	15 Minute	139	73.00	7.59	77015.73	
Non-Medical Transportation - Multipass	Per Purchase	62	89.00	2.57	14181.26	
<b>Personal Emergency Response System (PERS) Total:</b>						799208.02
PERS - Landline Installation	1 Installation	2	1.00	63.09	126.18	
PERS - Landline Monitoring	1 Month	16	7.00	32.01	3585.12	
PERS - Cellular Installation	1 Installation	377	2.00	63.53	47901.62	
PERS - Cellular Monitoring	1 Month	1801	10.00	41.51	747595.10	
<b>Transition Intensive Case Management Total:</b>						41160.00
<p>GRAND TOTAL: 40929978.97</p> <p>Total Estimated Unduplicated Participants: 2891</p> <p>Factor D (Divide total by number of participants): 14157.72</p> <p>Average Length of Stay on the Waiver: 312</p>						

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Transition Intensive Case Management	15 Minute	21	160.00	12.25	41160.00	
<b>Transition Setup Expenses Total:</b>						29400.00
Transition Setup Expenses	Event	21	1.00	1400.00	29400.00	
GRAND TOTAL: 40929978.97 Total Estimated Unduplicated Participants: 2891 Factor D (Divide total by number of participants): 14157.72 Average Length of Stay on the Waiver: 312						

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (6 of 9)**

**d. Estimate of Factor D.**

**i. Non-Concurrent Waiver.** Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

**Waiver Year: Year 2**

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Adult Day Services Total:</b>						28418.80
Adult Day Services - 15-Minute	15 Minute	5	1198.00	2.37	14196.30	
Adult Day Services - Daily	1 Day	5	50.00	56.89	14222.50	
<b>Case Management Total:</b>						7608402.29
Case Management - Monthly	1 Month	2894	10.50	241.83	7348488.21	
Case Management - 15-Minute	15 Minute	579	37.13	12.09	259914.08	
<b>Homemaker Total:</b>						147556.64
Homemaker	15 Minute	203	112.00	6.49	147556.64	
<b>Personal Support Services Total:</b>						11521744.16
Personal Support Services - Agency Based	15 Minute	487	248.00	8.91	1076114.16	
Personal Support Services - Participant- Directed	15 Minute	650	4229.00	3.80	10445630.00	
GRAND TOTAL: 40956240.44 Total Estimated Unduplicated Participants: 2894 Factor D (Divide total by number of participants): 14152.12 Average Length of Stay on the Waiver: 315						

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Respite Total:</b>						18606.56
Respite - 15-Minute	15 Minute	8	193.00	10.36	15995.84	
Respite - Daily	1 Day	2	3.50	372.96	2610.72	
<b>Home Health Aide Total:</b>						5128977.00
Home Health Aide	15-Minute	943	525.00	10.36	5128977.00	
<b>Skilled Nursing Total:</b>						2316318.96
Skilled Nursing Services - Registered Nurse (RN)	15 Minute	619	138.00	26.12	2231222.64	
Skilled Nursing Services - Licensed Practical Nurse (LPN)	15 Minute	47	96.00	18.86	85096.32	
<b>Assisted Living Facility Services Total:</b>						7750946.91
Assisted Living Facility Services - Standard	1 Day	379	266.00	70.44	7101338.16	
Assisted Living Facility Services - Memory Care Unit	1 Day	35	225.00	82.49	649608.75	
<b>Assistive Technology Total:</b>						59444.88
Assistive Technology Equipment	1 Dollar	66	800.00	1.00	52800.00	
Assistive Technology Service	15 Minute	66	4.00	25.17	6644.88	
<b>Companion Services Total:</b>						147556.64
Companion Services	15 Minute	203	112.00	6.49	147556.64	
<b>Environmental Modification Total:</b>						5000.00
Environmental Modification - New	Event	1	1.00	5000.00	5000.00	
Environmental Modification - Repair	Event	0	0.00	5000.00	0.00	
Environmental Modification - Assessment	Assessment	0	0.00	5000.00	0.00	
<b>Home-Delivered Meals Total:</b>						5260918.32
Home Delivered Meals - Hot	1 Meal	933	232.00	10.65	2305256.40	
<p>GRAND TOTAL: 40956240.44</p> <p>Total Estimated Unduplicated Participants: 2894</p> <p>Factor D (Divide total by number of participants): 14152.12</p> <p>Average Length of Stay on the Waiver: 315</p>						

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Home Delivered Meals - Frozen	1 Meal	1359	276.00	7.88	2955661.92	
<b>Non-Medical Transportation Total:</b>						91751.06
Non-Medical Transportation - 15-Minute	15 Minute	140	73.00	7.59	77569.80	
Non-Medical Transportation - Multipass	Per Purchase	62	89.00	2.57	14181.26	
<b>Personal Emergency Response System (PERS) Total:</b>						800038.22
PERS - Landline Installation	1 Installation	2	1.00	63.09	126.18	
PERS - Landline Monitoring	1 Month	16	7.00	32.01	3585.12	
PERS - Cellular Installation	1 Installation	377	2.00	63.53	47901.62	
PERS - Cellular Monitoring	1 Month	1803	10.00	41.51	748425.30	
<b>Transition Intensive Case Management Total:</b>						41160.00
Transition Intensive Case Management	15 Minute	21	160.00	12.25	41160.00	
<b>Transition Setup Expenses Total:</b>						29400.00
Transition Setup Expenses	Event	21	1.00	1400.00	29400.00	
<p>GRAND TOTAL: 40956240.44                      Total Estimated Unduplicated Participants: 2894                      Factor D (Divide total by number of participants): 14152.12                      Average Length of Stay on the Waiver: 315</p>						

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (7 of 9)**

**d. Estimate of Factor D.**

**i. Non-Concurrent Waiver.** Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

**Waiver Year: Year 3**

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Adult Day Services Total:</b>						28418.80
Adult Day Services - 15-Minute	15 Minute	5	1198.00	2.37	14196.30	
Adult Day Services - Daily	1 Day	5	50.00	56.89	14222.50	
<b>Case Management Total:</b>						7616468.84
Case Management - Monthly	1 Month	2897	10.50	241.83	7356105.86	
Case Management - 15-Minute	15 Minute	580	37.13	12.09	260362.99	
<b>Homemaker Total:</b>						147556.64
Homemaker	15 Minute	203	112.00	6.49	147556.64	
<b>Personal Support Services Total:</b>						11537814.36
Personal Support Services - Agency Based	15 Minute	487	248.00	8.91	1076114.16	
Personal Support Services - Participant-Directed	15 Minute	651	4229.00	3.80	10461700.20	
<b>Respite Total:</b>						18606.56
Respite - 15-Minute	15 Minute	8	193.00	10.36	15995.84	
Respite - Daily	1 Day	2	3.50	372.96	2610.72	
<b>Home Health Aide Total:</b>						5128977.00
Home Health Aide	15 Minute	943	525.00	10.36	5128977.00	
<b>Skilled Nursing Total:</b>						2319923.52
Skilled Nursing Services - Registered Nurse (RN)	15 Minute	620	138.00	26.12	2234827.20	
Skilled Nursing Services - Licensed Practical Nurse (LPN)	15 Minute	47	96.00	18.86	85096.32	
<b>Assisted Living Facility Services Total:</b>						7769683.95
Assisted Living Facility Services - Standard	1 Day	380	266.00	70.44	7120075.20	
Assisted Living Facility Services - Memory Care Unit	1 Day	35	225.00	82.49	649608.75	

GRAND TOTAL: 40998133.89

Total Estimated Unduplicated Participants: 2897

Factor D (Divide total by number of participants): 14151.93

Average Length of Stay on the Waiver: 318

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Assistive Technology Total:</b>						59444.88
Assistive Technology Equipment	1 Dollar	66	800.00	1.00	52800.00	
Assistive Technology Service	15 Minute	66	4.00	25.17	6644.88	
<b>Companion Services Total:</b>						147556.64
Companion Services	15 Minute	203	112.00	6.49	147556.64	
<b>Environmental Modification Total:</b>						0.00
Environmental Modification - New	Event	0	1.00	5000.00	0.00	
Environmental Modification - Repair	Event	0	0.00	5000.00	0.00	
Environmental Modification - Assessment	Assessment	0	0.00	5000.00	0.00	
<b>Home-Delivered Meals Total:</b>						5260918.32
Home Delivered Meals - Hot	1 Meal	933	232.00	10.65	2305256.40	
Home Delivered Meals - Frozen	1 Meal	1359	276.00	7.88	2955661.92	
<b>Non-Medical Transportation Total:</b>						91751.06
Non-Medical Transportation - 15-Minute	15 Minute	140	73.00	7.59	77569.80	
Non-Medical Transportation - Multipass	Per Purchase	62	89.00	2.57	14181.26	
<b>Personal Emergency Response System (PERS) Total:</b>						800453.32
PERS - Landline Installation	1 Installation	2	1.00	63.09	126.18	
PERS - Landline Monitoring	1 Month	16	7.00	32.01	3585.12	
PERS - Cellular Installation	1 Installation	377	2.00	63.53	47901.62	
PERS - Cellular Monitoring	1 Month	1804	10.00	41.51	748840.40	
<b>Transition Intensive Case Management Total:</b>						41160.00
Transition Intensive Case Management	15 Minute	21	160.00	12.25	41160.00	

GRAND TOTAL: 40998133.89

Total Estimated Unduplicated Participants: 2897

Factor D (Divide total by number of participants): 14151.93

Average Length of Stay on the Waiver: 318

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Transition Setup Expenses Total:</b>						29400.00
Transition Setup Expenses	Event	21	1.00	1400.00	29400.00	
<b>GRAND TOTAL: 40998133.89</b> Total Estimated Unduplicated Participants: 2897 Factor D (Divide total by number of participants): 14151.93 Average Length of Stay on the Waiver: 318						

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (8 of 9)**

**d. Estimate of Factor D.**

**i. Non-Concurrent Waiver.** Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

**Waiver Year: Year 4**

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Adult Day Services Total:</b>						28418.80
Adult Day Services - 15-Minute	15 Minute	5	1198.00	2.37	14196.30	
Adult Day Services - Daily	1 Day	5	50.00	56.89	14222.50	
<b>Case Management Total:</b>						7624086.49
Case Management - Monthly	1 Month	2900	10.50	241.83	7363723.50	
Case Management - 15-Minute	15 Minute	580	37.13	12.09	260362.99	
<b>Homemaker Total:</b>						147556.64
Homemaker	15 Minute	203	112.00	6.49	147556.64	
<b>Personal Support Services Total:</b>						11540024.04
Personal Support Services - Agency Based	15 Minute	488	248.00	8.91	1078323.84	
Personal Support Services - Participant-Directed	15 Minute	651	4229.00	3.80	10461700.20	
<b>Respite Total:</b>						18606.56
Respite - 15-Minute					15995.84	
<b>GRAND TOTAL: 41036382.60</b> Total Estimated Unduplicated Participants: 2900 Factor D (Divide total by number of participants): 14150.48 Average Length of Stay on the Waiver: 321						

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	15 Minute	8	193.00	10.36		
Respite - Daily	1 Day	2	3.50	372.96	2610.72	
<b>Home Health Aide Total:</b>						5134416.00
Home Health Aide	15 Minute	944	525.00	10.36	5134416.00	
<b>Skilled Nursing Total:</b>						2323528.08
Skilled Nursing Services - Registered Nurse (RN)	15 Minute	621	138.00	26.12	2238431.76	
Skilled Nursing Services - Licensed Practical Nurse (LPN)	15 Minute	47	96.00	18.86	85096.32	
<b>Assisted Living Facility Services Total:</b>						7769683.95
Assisted Living Facility Services - Standard	1 Day	380	266.00	70.44	7120075.20	
Assisted Living Facility Services - Memory Care Unit	1 Day	35	225.00	82.49	649608.75	
<b>Assistive Technology Total:</b>						66044.88
Assistive Technology Equipment	1 Dollar	66	900.00	1.00	59400.00	
Assistive Technology Service	15 Minute	66	4.00	25.17	6644.88	
<b>Companion Services Total:</b>						147556.64
Companion Services	15 Minute	203	112.00	6.49	147556.64	
<b>Environmental Modification Total:</b>						5000.00
Environmental Modification - New	Event	1	1.00	5000.00	5000.00	
Environmental Modification - Repair	Event	0	0.00	5000.00	0.00	
Environmental Modification - Assessment	Assessment	0	0.00	5000.00	0.00	
<b>Home-Delivered Meals Total:</b>						5267738.88
Home Delivered Meals - Hot	1 Meal	934	232.00	10.65	2307727.20	
Home Delivered Meals - Frozen	1 Meal	1361	276.00	7.88	2960011.68	
<p>GRAND TOTAL: 41036382.60                      Total Estimated Unduplicated Participants: 2900                      Factor D (Divide total by number of participants): 14150.48                      Average Length of Stay on the Waiver: 321</p>						

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Non-Medical Transportation Total:</b>						91751.06
Non-Medical Transportation - 15-Minute	15 Minute	140	73.00	7.59	77569.80	
Non-Medical Transportation - Multipass	Per Purchase	62	89.00	2.57	14181.26	
<b>Personal Emergency Response System (PERS) Total:</b>						801410.58
PERS - Landline Installation	1 Installation	2	1.00	63.09	126.18	
PERS - Landline Monitoring	1 Month	16	7.00	32.01	3585.12	
PERS - Cellular Installation	1 Installation	378	2.00	63.53	48028.68	
PERS - Cellular Monitoring	1 Month	1806	10.00	41.51	749670.60	
<b>Transition Intensive Case Management Total:</b>						41160.00
Transition Intensive Case Management	15 Minute	21	160.00	12.25	41160.00	
<b>Transition Setup Expenses Total:</b>						29400.00
Transition Setup Expenses	Event	21	1.00	1400.00	29400.00	
<p>GRAND TOTAL: 41036382.60                      Total Estimated Unduplicated Participants: 2900                      Factor D (Divide total by number of participants): 14150.48                      Average Length of Stay on the Waiver: 321</p>						

**Appendix J: Cost Neutrality Demonstration**

**J-2: Derivation of Estimates (9 of 9)**

**d. Estimate of Factor D.**

**i. Non-Concurrent Waiver.** Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

**Waiver Year: Year 5**

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
<b>Adult Day Services Total:</b>						28418.80
Adult Day Services					14196.30	
<p>GRAND TOTAL: 41066434.22                      Total Estimated Unduplicated Participants: 2903                      Factor D (Divide total by number of participants): 14146.21                      Average Length of Stay on the Waiver: 324</p>						

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
- 15-Minute	15 Minute	5	1198.00	2.37		
Adult Day Services - Daily	1 Day	5	50.00	56.89	14222.50	
<b>Case Management Total:</b>						7632153.03
Case Management - Monthly	1 Month	2903	10.50	241.83	7371341.14	
Case Management - 15-Minute	15 Minute	581	37.13	12.09	260811.89	
<b>Homemaker Total:</b>						147556.64
Homemaker	15 Minute	203	112.00	6.49	147556.64	
<b>Personal Support Services Total:</b>						11556094.24
Personal Support Services - Agency Based	15 Minute	488	248.00	8.91	1078323.84	
Personal Support Services - Participant- Directed	15 Minute	652	4229.00	3.80	10477770.40	
<b>Respite Total:</b>						18606.56
Respite - 15-Minute	15 Minute	8	193.00	10.36	15995.84	
Respite - Daily	1 Day	2	3.50	372.96	2610.72	
<b>Home Health Aide Total:</b>						5139855.00
Home Health Aide	15 Minute	945	525.00	10.36	5139855.00	
<b>Skilled Nursing Total:</b>						2323528.08
Skilled Nursing Services - Registered Nurse (RN)	15 Minute	621	138.00	26.12	2238431.76	
Skilled Nursing Services - Licensed Practical Nurse (LPN)	15 Minute	47	96.00	18.86	85096.32	
<b>Assisted Living Facility Services Total:</b>						7769683.95
Assisted Living Facility Services - Standard	1 Day	380	266.00	70.44	7120075.20	
Assisted Living Facility Services - Memory Care Unit	1 Day	35	225.00	82.49	649608.75	
<b>Assistive Technology Total:</b>						66044.88

GRAND TOTAL: 41066434.22

Total Estimated Unduplicated Participants: 2903

Factor D (Divide total by number of participants): 14146.21

Average Length of Stay on the Waiver: 324

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assistive Technology Equipment	1 Dollar	66	900.00	1.00	59400.00	
Assistive Technology Service	15 Minute	66	4.00	25.17	6644.88	
<b>Companion Services Total:</b>						147556.64
Companion Services	15 Minute	203	112.00	6.49	147556.64	
<b>Environmental Modification Total:</b>						0.00
Environmental Modification - New	Event	0	1.00	5000.00	0.00	
Environmental Modification - Repair	Event	0	0.00	5000.00	0.00	
Environmental Modification - Assessment	Assessment	0	0.00	5000.00	0.00	
<b>Home-Delivered Meals Total:</b>						5272384.56
Home Delivered Meals - Hot	1 Meal	935	232.00	10.65	2310198.00	
Home Delivered Meals - Frozen	1 Meal	1362	276.00	7.88	2962186.56	
<b>Non-Medical Transportation Total:</b>						91751.06
Non-Medical Transportation - 15-Minute	15 Minute	140	73.00	7.59	77569.80	
Non-Medical Transportation - Multipass	Per Purchase	62	89.00	2.57	14181.26	
<b>Personal Emergency Response System (PERS) Total:</b>						802240.78
PERS - Landline Installation	1 Installation	2	1.00	63.09	126.18	
PERS - Landline Monitoring	1 Month	16	7.00	32.01	3585.12	
PERS - Cellular Installation	1 Installation	378	2.00	63.53	48028.68	
PERS - Cellular Monitoring	1 Month	1808	10.00	41.51	750500.80	
<b>Transition Intensive Case Management Total:</b>						41160.00
Transition Intensive Case Management	15 Minute	21	160.00	12.25	41160.00	
<b>Transition Setup Expenses Total:</b>						29400.00

GRAND TOTAL: 41066434.22

Total Estimated Unduplicated Participants: 2903

Factor D (Divide total by number of participants): 14146.21

Average Length of Stay on the Waiver: 324

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Transition Setup Expenses	Event	21	1.00	1400.00	29400.00	
<p>GRAND TOTAL: 41066434.22</p> <p>Total Estimated Unduplicated Participants: 2903</p> <p>Factor D (Divide total by number of participants): 14146.21</p> <p>Average Length of Stay on the Waiver: 324</p>						