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

PURPOSE OF THE HCBS WAIVER PROGRAM

The Medicaid Home and Community-Based Services (HCBS) waiver program is authorized in 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

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

1. Discovery and Career Planning (DCP): Strengthened the service definition to align with federal/Office of Disability Employment Policy (ODEP) definitions for Customized Employment & the Discovery process. Updated maximum limit for DCP to align with national best practices for a more rapid engagement approach.

2. Individual Employment Supports: Strengthened the service definition to include best practices and align with federal/ODEP definitions for competitive integrated employment (CIE).

3. Personal Care Assistance: New service added to the waiver that covers a range of assistance to enable participants to accomplish tasks that they would normally do for themselves if they did not have a disability and allow them to age in place. Included PCA as a service subject to Electronic Visit Verification (EVV).

4. Residential Care Supports: New service added to the waiver that comprise of personal care and supportive services provided in a licensed or certified home by a primary caregiver who lives in the home. RCS is furnished to adults who receive these services in conjunction with residing in the home and is not considered a Residential Habilitation service.

5. Additional Residential Supports: Changed short-term time limit from 60 days to 90 days to allow for more flexibility in the use of the service.

6. Community Navigator: Strengthened service definition to be individualized, promote community membership, and outcome oriented.

7. Environmental Accessibility Adaptations: Updated the language to allow for an Exceptions Review if the maximum cost exceed the limits. This allows for flexibility to address participants' individual needs and accommodates the continuous increases in the cost of construction material and labor.

8. Personal Emergency Response System: Expanded the service definition to adjust for current and evolving technology.

9. Private Duty Nursing: Changed the maximum average hours per day from 8 hours to 10 hours and increased the day limit from 30 days to 60 days to allow for more flexibility in the use of the service.

10. Training and Consultation (T&C): Added T&C by a Behavior Analyst as a service available to a participant while in an acute-care hospital for transition purposes only. Also included in the new section of the waiver as an option to provide HCBS in acute-care hospitals.

11. Updated language to address new requirements in the waiver:
a. Methods of Remediation/Fixing Individual Problems;
b. Delivery of Case Management Services to describe the requirements for training on the HCBS settings regulation and person-centered planning requirements;
c. State assurances for telehealth;
d. Abuse Registry Screening to describe the process for ensuring continuity of care for a waiver participant whose service provider was added to the abuse registry;
e. Home and Community-Based Settings to describe the state's compliance with HCBS Settings rule;
f. Responsibility for Service Plan Development to describe case manager training and competency requirements for HCBS settings criteria and person-centered service plan development;
g. Service Plan Development Process to describe how the participant engages in and/or directs the planning process and how the state documents consent of the person-centered service plan;
h. HCBS Setting Requirements for the Service Plan to assure service plans comply with the HCBS Settings rule; and
i. Service Plan Implementation and Monitoring to describe adherence to the HCBS settings requirements with minor changes for clarity.

12. Updated the use of SIS-A 2nd Edition and the descriptions for the 7 levels.

13. Updated the provider monitoring process to be at least every three years or annually for providers requiring a corrective action plan. DOH/DDD is in the process of revising the provider monitoring framework and tool to provide more intensive monitoring, oversight, and technical assistance for providers who do not meet state and federal requirements.

14. Added new supplemental payments for the following:
a. Expanding adult foster home capacity on the neighbor islands;
b. Placements into community integrated employment; and

c. Payments for certified direct support professionals.

15. Updated projections for the number of users and costs for services for waiver years 1-5, fiscal years 2027-2031.

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

1. Request Information (1 of 3)

A. The **State** of **Hawaii** 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*):

HCB Services for People with Intellectual and Developmental Disabilities (I/DD Waiver)

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: HI.0013
Draft ID: HI.001.09.00

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

Regular Waiver

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

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)

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:

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

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

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

1. Request Information (3 of 3)

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

Select one:

◉ **Not applicable**

○ **Applicable**

Check the applicable authority or authorities:

☐ **Services furnished under the provisions of 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:

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:

☐ **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:

H. Dual Eligiblity 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.

Purpose:
To enable persons with intellectual and developmental disabilities (I/DD) who meet institutional level of care the choice to live in their homes and communities with appropriate quality supports designed to promote health, community integration, safety and independence.

Goals/Objectives:
1) To provide necessary supports to participants in the waiver to have full lives in their communities and to maximize independence, autonomy and self-advocacy.
2) To evaluate and continuously improve the quality of services to participants, including measuring the satisfaction of the benefits and services the participants receive, in order to improve them.

Organizational Structure:
Department of Human Services, Med-QUEST Division (DHS/MQD) is the Single State Agency/Medicaid agency and the Department of Health, Developmental Disabilities Division (DOH/DDD) operates the waiver. DHS/MQD and DOH/DDD have a Memorandum of Agreement (MOA) to administer, operate, and monitor the program. The MOA defines the roles and responsibilities required by each state department for waiver operation and administration.

Authority:
The waiver will be implemented by the DOH/DDD under the supervision and delegation of the DHS/MQD. DHS/MQD exercises oversight and ultimate approval over DOH/DDD's implementation, administration and operation of the waiver program. DHS/MQD promulgates rules regarding the oversight and operational approval authority that are binding upon DOH/DDD. DHS/MQD retains ultimate responsibility for the waiver. DHS/MQD serves as the primary communication liaison with CMS and directly involves DOH/DDD in discussions pertinent to the waiver.

DOH/DDD is the State agency responsible for administering programs for individuals with intellectual and developmental disabilities. DOH/DDD issues policies, rules, and regulations regarding the implementation, administration and operation of the waiver program, under the supervision and approval of DHS/MQD. DOH/DDD consults with and collaborates with DHS/MQD on all matters pertinent to waiver operations.

Waiver services are primarily delivered through agencies that enter into Medicaid Provider Service Agreements with DHS/MQD. For certain services, participants may select and direct their services through the consumer directed option. Service providers may provide one or more services as described in Appendix C.

3. Components of the Waiver Request

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

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

B. Participant Access and Eligibility. Appendix B specifies the target group(s) of individuals who are served in this waiver,

the number of participants that the state expects to serve during each year that the waiver is in effect, applicable Medicaid eligibility and post-eligibility (if applicable) requirements, and procedures for the evaluation and reevaluation of level of care.

C. Participant Services. Appendix C specifies the home and community-based waiver services that are furnished through the waiver, including applicable limitations on such services.

D. Participant-Centered Service Planning and Delivery. Appendix D specifies the procedures and methods that the state uses to develop, implement and monitor the participant-centered service plan (of care).

E. Participant-Direction of Services. When the state provides for participant direction of services, **Appendix E** specifies the participant direction opportunities that are offered in the waiver and the supports that are available to participants who direct their services. (*Select one*):

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

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

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

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

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

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

4. Waiver(s) Requested

A. Comparability. The state requests a waiver of the requirements contained in 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. Statewideness. Indicate whether the state requests a waiver of the statewideness requirements in section 1902(a)(1) of the Act *(select one)*:

- (●) **No**
- ( ) **Yes**

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

☐ **Geographic Limitation.** A waiver of statewideness is requested in order to furnish services under this waiver only to individuals who reside in the following geographic areas or political subdivisions of the state. *Specify the areas to which this waiver applies and, as applicable, the phase-in schedule of the waiver by geographic area:*

☐ **Limited Implementation of Participant-Direction.** A waiver of statewideness is requested in order to make

participant-direction of services as specified in **Appendix E** available only to individuals who reside in the following geographic areas or political subdivisions of the state. Participants who reside in these areas may elect to direct their services as provided by the state or receive comparable services through the service delivery methods that are in effect elsewhere in the state.
Specify the areas of the state affected by this waiver and, as applicable, the phase-in schedule of the waiver by geographic area:

5. Assurances

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

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

1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;

2. Assurance that the standards of any state licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The state assures that these requirements are met on the date that the services are furnished; and,

3. Assurance that all facilities subject to 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

Note: Item 6-I must be completed.

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

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

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

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

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

To be completed after end of public comment period.

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: Nichols

First Name: Meredith

Title: Acting Administrator, Med-QUEST Division

Agency: Department of Human Services

Address: 601 Kamokila Boulevard

Address 2: Suite 518

City: Kapolei

State: **Hawaii**

Zip: 96707

Phone: (808) 692-8052 **Ext:** ☐ **TTY**

Fax: (808) 692-8155

E-mail:

mnichols@dhs.hawaii.gov

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

Last Name: Lee

First Name: Ryan

Title: Acting Administrator, Developmental Disabilities Division

Agency: Department of Health

Address: 2201 Waimano Home Road

Address 2: Hale C

City: Pearl City

State: **Hawaii**

Zip: 96782

Phone: (808) 733-1689 **Ext:** ☐ **TTY**

Fax: (808) 453-6770

E-mail: ryan.lee@doh.hawaii.gov

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: **Hawaii**

Zip:

Phone:

Ext: ☐ **TTY**

Fax:

E-mail:

Attachments

Attachment #1: Transition Plan

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

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

Specify the transition plan for the waiver:

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

Appendix A: Waiver Administration and Operation

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

○ **The waiver is operated by the state Medicaid agency.**

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

○ **The Medical Assistance Unit.**

Specify the unit name:

(Do not complete item A-2)

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

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

(Complete item A-2-a).

◉ **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:

Department of Health, Developmental Disabilities Division (DOH/DDD)

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:

The Department of Human Services, Med-QUEST Division (DHS/MQD), as the Single State Medicaid Agency, administers all Medicaid waiver programs for Hawaii. In this capacity, DHS/MQD serves as the State's source for all matters pertinent to Medicaid. DHS/MQD provides technical consultation on issues relevant to Medicaid and Medicaid waiver to DOH/DDD. DOH/DDD operates the waiver in accordance with the Memorandum of Agreement between DHS/MQD and DOH/DDD. The agreement is reviewed at least every five years and was updated in 2019.
DHS/MQD ensures the proper and efficient implementation of the waiver through the following:

1) Quality Assurance Reviews

These reviews are conducted by DOH/DDD and examine the quality of services provided via the waiver. It is a process that is quality focused and assesses the operating agency’s role by conducting participant reviews. Information to be reviewed is gathered from participant and service provider records and interviews with participants, families and direct service workers. Indicators include but are not limited to: frequency and quality of worker/participant contacts; identification of measurable participant goals in service plans; documentation of services provided to achieve goals; responsiveness of the service planning process to participants’ changing needs; adverse events regarding participants’ health and safety; and quality of supervision and training provided to direct service workers by provider agencies to achieve participant goals.

Remediation and improvement activities may be participant and/or system focused. Anticipated outcomes include improvements to case management and participant service planning, recruitment and training of providers and increasing the ability of DOH/DDD to effect needed improvements and changes. Concerns specific to individual participants reviewed are referred to the DOH/DDD case manager for remediation and follow up, with quarterly performance measure reports provided to the DHS/MQD. Depending on the severity and intensity of situations reviewed, the issue may be elevated to a cross department executive level discussion and remediation. Corrective actions vary according to the scope and severity of the identified problem.

2) DHS/MQD Management Compliance Reviews

DHS/MQD analyzes DOH/DDD reports that review the entire process of waiver involvement from initial eligibility determination to payments rendered for services and claims filed. The DOH/DDD reports include the following but are not limited to: the adequacy and efficiency of processes used to admit participants, how needs are assessed, how services are provided and how DOH/DDD monitors and tracks expenditures. These are compliance focused activities. After analyzing the reports submitted by DOH/DDD, DHS/MQD monitors remedial activities and outcomes and makes recommendations for system improvement to DOH/DDD as needed.

3) Regular Management Meetings between DHS/MQD & DOH/DDD

These “Collaboratives” are used to facilitate more effective communication between the oversight and operating agencies. Discussion topics include areas of concern identified by either DHS/MQD or DOH/DDD during their quality assurance processes, strategies to improve services or mitigate problems, and strategies to improve existing services and processes. Issues are addressed as identified, leading to new processes or procedures, and follow-up discussions to monitor that implementation occurred.

The frequency of quality assurance reviews conducted by DOH/DDD and reports received by DHS/MQD is completed on a quarterly or more frequent basis, depending on the specific type of information gathered.

Appendix A: Waiver Administration and Operation

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

- (●) **Yes. Contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or operating agency (if applicable).**
  Specify the types of contracted entities and briefly describe the functions that they perform. *Complete Items A-5 and A-6.:*

  The following contracts perform operational or administrative functions for the waiver on behalf of the Medicaid agency.

  1) DHS/MQD contracts with a Medicaid fiscal agent to perform its Fiscal Intermediary (FI) functions for the Medicaid Agency's fee-for service (FFS) program. The waiver program providers bill state's Medicaid fiscal agent for payment.

  2) DOH/DDD contracts with a fiscal agent company to perform Financial Management Services to support participants using consumer-directed arrangements.

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

Appendix A: Waiver Administration and Operation

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

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

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

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

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

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

Appendix A: Waiver Administration and Operation

5. Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities. Specify the

state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:

Department of Human Services – Med-QUEST Division (DHS/MQD) for the Medicaid Fiscal Intermediary contract.

Department of Health – Developmental Disabilities Division (DOH/DDD) for the Financial Management Services contract.

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:

The Medicaid Fiscal Intermediary contractor submits reports to DHS/MQD on a weekly basis. DHS/MQD monitors the contractor's performance through review of these weekly reports.

The consumer-directed Financial Management Services contractor submits reports to DOH/DDD on a quarterly basis that are reviewed to assure contract compliance. DOH/DDD will submit quarterly reports to DHS/MQD that include an assessment of the contractor's performance on required activities per the scope of services.

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	Other State Operating Agency	Contracted Entity
Participant waiver enrollment	☒	☒	☐
Waiver enrollment managed against approved limits	☒	☒	☐
Waiver expenditures managed against approved levels	☒	☒	☐
Level of care waiver eligibility evaluation	☒	☒	☐
Review of Participant service plans	☒	☒	☐
Prior authorization of waiver services	☒	☒	☐
Utilization management	☒	☒	☐
Qualified provider enrollment	☒	☒	☐

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity
Execution of Medicaid provider agreements	☒	☐	☐
Establishment of a statewide rate methodology	☒	☒	☐
Rules, policies, procedures and information development governing the waiver program	☒	☒	☐
Quality assurance and quality improvement activities	☒	☒	☒

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:
#/% of waiver policies/procedures developed or revised during the waiver year by DOH/DDD and approved by DHS/MQD N: # of waiver policies/procedures developed or revised that are submitted during the waiver year by DOH/DDD and approved by DHS/MQD D: Total # of waiver policies/procedures developed or revised that are submitted during the waiver year

Data Source (Select one):
Other
If 'Other' is selected, specify:
DOH/DDD policies/procedures and Waiver standards

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

☐ **State Medicaid Agency**	☐ **Weekly**	☒ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☒ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

Performance Measure:
#/% of waiver providers in HPMMIS with a valid Medicaid provider agreement N: # of waiver providers in HPMMIS with a valid Medicaid provider agreement D: Total # of waiver providers in HPMMIS

Data Source (Select one):
Other
If 'Other' is selected, specify:
MMIS Audit

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% of new CD employers enrolled by the FMS contactor in accordance with the FMS contract N: # of new CD employers enrolled within 20 calendar days by the FMS D: Total # of new CD employers referred to the FMS by the DOH/DDD

Data Source (Select one):
Other
If 'Other' is selected, specify:
Consumer-Directed FMS reports

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

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% of new waiver applicants determined to be eligible for waiver services within 90 calendar days of receipt of a completed application N: # of new waiver applicants determined to be eligible for waiver services within 90 calendar days of receipt of a completed application D: Total # of new waiver applicants determined to be eligible for waiver services in the quarter

Data Source (Select one):
Other
If 'Other' is selected, specify:
DOH/DDD Applications tracking log

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

☐ **State Medicaid Agency**	☐ **Weekly**	☒ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

Performance Measure:
#/% of waiver reports submitted by DOH/DDD and received by DHS/MQD in accordance with schedule N: # of waiver reports submitted by DOH/DDD and received by DHS/MQD in accordance with schedule D: Total # of waiver reports required to be submitted by DOH/DDD to DHS/MQD

Data Source (Select one):
Other
If 'Other' is selected, specify:
Scheduled reports from DOH/DDD

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% of utilization reviews conducted by DOH/DDD in accordance with waiver approved policies/procedures N: # of utilization reviews conducted by DOH/DDD in accordance with waiver approved policies/procedures D: Total # of utilization reviews conducted by DOH/DDD

Data Source (Select one):
Other
If 'Other' is selected, specify:
DOH/DDD Utilization Review tracking log

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

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

Data Aggregation and Analysis:

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

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.

DHS/MQD is responsible for program monitoring and oversight. Identified problems are reviewed within appropriate quality committees to resolve issues timely and effectively. Corrective action plans and other remediation activities are

logged and tracked and information is shared between DHS/MQD and DOH/DDD at regular scheduled meetings. Internal processes are in place where individual problems are identified, analyzed, and assigned to the appropriate area of DOH/DDD for follow-up. For example, for provider related problems, corrective action plans are tracked to ensure completion of remediation activities and followed up to ensure continued compliance and improvement through provider monitoring, which is accessible in the provider's file.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

◉ **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
☐ **Aged or Disabled, or Both - General**					
	☐	**Aged**			☐

Target Group	Included	Target Sub Group	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
	☐	Disabled (Physical)			
	☐	Disabled (Other)			
☐ Aged or Disabled, or Both - Specific Recognized Subgroups					
	☐	Brain Injury			☐
	☐	HIV/AIDS			☐
	☐	Medically Fragile			☐
	☐	Technology Dependent			☐
☒ Intellectual Disability or Developmental Disability, or Both					
	☐	Autism			☐
	☒	Developmental Disability	0		☒
	☒	Intellectual Disability	0		☒
☐ Mental Illness					
	☐	Mental Illness			☐
	☐	Serious Emotional Disturbance			

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

HRS § 333F-1 defines intellectual disability as follows: "'Intellectual disability' means significantly sub-average general intellectual functioning resulting in or associated with concurrent moderate, severe, or profound impairments in adaptive behavior and manifested during the developmental period."

HRS § 333F-1 defines developmental disabilities as follows: " 'Developmental disabilities' means a severe, chronic disability of a person which:
1) is attributable to a mental or physical impairment or combination of mental and physical impairments;
2) is manifested before the person attains age twenty-two;
3) is likely to continue indefinitely;
4) results in substantial functional limitations in three or more of the following areas of major life activity: self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic sufficiency; and
5) reflects the person's need for a combination and sequence of special, interdisciplinary, or generic care, treatment, or other services which are of lifelong or extended duration and are individually planned and coordinated."

For children ages 0 to 9, the eligibility criteria is "An individuals from birth to age nine who has a substantial developmental delay or specific congenital or acquired condition may be considered to have a developmental disability without meeting three or more of the criteria described above, if the individual, without services and supports, has a high probability of meeting those criteria later in life."

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

◉ **Not applicable. There is no maximum age limit**

○ **The following transition planning procedures are employed for participants who will reach the waiver's maximum age limit.**

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

    Specify the percentage:

  - ( ) **Other**

    Specify:

- ( ) **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	2998
Year 2	3056
Year 3	3115
Year 4	3175
Year 5	3237

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:

Individuals are admitted as soon as they are approved. Applications are expedited for any individual who requires crisis-level services in order to avoid institutionalization (persons who require crisis-level services are those for whom there are no supports available so that their health, safety and/or welfare are at risk).

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:

Blind or disabled individuals under section §1634(c) of the Act.

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:

Optional State Supplement participants.
Blind or disabled individuals under section §1634(c) of the Act.

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-c (209b 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-c (209b 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-c (209b 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).

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

Appendix B: Participant Access and Eligibility

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

Note: The following selections apply for the time 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).

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

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

(●) **The following standard included under the state plan**

(*select one*):

( ) **The following standard under 42 CFR § 435.121**

Specify:

( ) **Optional state supplement standard**
( ) **Medically needy income standard**
( ) **The special income level for institutionalized persons**

(*select one*):

( ) **300% of the SSI Federal Benefit Rate (FBR)**
( ) **A percentage of the FBR, which is less than 300%**

Specify percentage:

○ **A dollar amount which is less than 300%.**

Specify dollar amount:

◉ **A percentage of the Federal poverty level**

Specify percentage: 100

○ **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*):

○ **The following standard under 42 CFR § 435.121**

Specify:

○ **Optional state supplement standard**

○ **Medically needy income standard**

○ **The following dollar amount:**

Specify dollar amount: [ ] If this amount changes, this item will be revised.

○ **The amount is determined using the following formula:**

Specify:

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

○ **Not Applicable (see instructions)**

○ **AFDC need standard**

◉ **Medically needy income standard**

○ **The following dollar amount:**

Specify dollar amount: [ ] The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR § 435.811 for a family of the same size. If this amount changes, this item will be revised.

○ **The amount is determined using the following formula:**

Specify:

○ **Other**

Specify:

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

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

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

Select one:

○ **Not Applicable (see instructions)** *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*

◉ **The state does not establish reasonable limits.**

○ **The state establishes the following reasonable limits**

Specify:

Appendix B: Participant Access and Eligibility

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: 100

- ○ **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-4 indicate that you do not need to complete this section and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

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

Note: The following selections apply for the 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-5-a indicate the selections in B-5-c also apply to B-5-f.

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.

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: 1

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:

The minimum frequency for provision of waiver services is quarterly.

For individuals who do not require services on a monthly basis, the case manager conducts face-to-face monitoring at least quarterly. For the quarterly requirement for face-to-face monitoring by the case manager, telehealth may not be used unless there is an imminent issue of health and/or safety that precludes the scheduled visit and is in accordance with DOH/DDD policies and procedures. The quarterly face-to-face visit must be resumed as soon as the health and/or safety issue no longer is present, and there may not be two consecutive quarters when there is telehealth used for the quarterly monitoring in lieu of face-to-face visit. In addition, the case manager completes a minimum of monthly telephone or telehealth monitoring visits with the participant and/or others (e.g., caregivers, parents, guardians if applicable, providers, teachers, employers).

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:

- ◉ **Other**

Specify:

DHS/MQD performs initial ICF-IID level of care (LOC) evaluations. DOH/DDD performs reevaluations.

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:

The initial LOC evaluation is performed by a DHS/MQD physician or physician designee.The DHS/MQD physician is licensed in the State of Hawaii. The physician designee is a consultant, also licensed in the State of Hawaii, contracted by DHS/MQD.

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.

a) As part of the initial evaluation, the following information is reviewed:
- DHS 1150C form documenting DOH/DDD recommendation and request for level of care authorization;
- physicians' recommendation completed and signed by the applicant's physician;
- results of any adaptive functional assessments;
- Psychological evaluation if performed;
- intake reports documenting personal/medical/family/social history, if no psychological evaluation is attached; and
- cognitive scores.

b) As part of the annual reevaluation, the following information is reviewed:
- annual physician recommendation completed and signed by the participant's physician;
- provider reports;
- in-person interviews by DOH/DDD case manager;
- services planning assessment(s), e.g., Inventory for Client and Agency Planning (ICAP), Supports Intensity Scale for Adults (SIS-A);
- adaptive functional assessment, e.g., Adaptive Behavioral Assessment System (ABAS);
- Individualized Service Plan (ISP); and
- updated psychological evaluation if performed for children, or for participants with mild-moderate intellectual disability, or for participants with major health changes whose cognitive and/or adaptive functioning may have changed.

The following criteria is used to determine when the adaptive functional assessment must be updated:
1. the ICAP score >80;
2. the current adaptive functional assessment is unclear;
3. cognitive and/or adaptive functioning has changed significantly; or
4. health has undergone major changes.

An updated psychological evaluation or updated testing is required when:
1. the adaptive functional assessment does not meet criteria (i.e., ABAS is in the mild range); and
2. for children at certain age groups with both IQ and adaptive scores in the mild to moderate range.

Based on analysis of the assessment results and additional information obtained, a determination is made whether the participant continues to meet eligibility for waiver services.

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

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

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

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

The DHS 1150 (facility) form is different from the DHS 1150C (waiver) form in that the DHS 1150 evaluates an individual's need for active treatment 24 hours/day, 7 days a week.

In both the initial evaluation and the annual re-evaluation, the types of core evaluations that are reviewed are the same (physician's recommendation or physician evaluation, psychological evaluations if performed, results of any adaptive functional assessments, cognitive scores, other reports that are available at the time of the initial or the re-evaluation). The outcomes are equivalent by virtue of the same methodologies used; the additional documents reviewed are only supplemental in nature and do not influence the outcome. As well, both processes require a review by the same Clinical Interdisciplinary Team (CIT) which reviews the same set of core documents if it is determined that the applicant/participant may not meet the level of care criteria or if the determination is questionable. If the CIT determines that the participant does not meet LOC, that recommendation is reviewed by the DHS/MQD Medical Director, who also reviews all initial LOC determinations.

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:

Details of the processes for Initial Evaluations and Annual Reevaluations are outlined below:

a) Initial evaluation:
DOH/DDD has responsibility for obtaining and reviewing the required documentation, that includes at a minimum:
1) application requesting services;
2) physician's recommendation; and
3) adaptive behavior assessments identifying functional levels.

A psychological evaluation of cognitive and adaptive functioning by a licensed psychologist will be required if the physician's evaluation indicates a diagnosis of intellectual disability (ID).

Additional information such as Department of Education assessment reports may be requested by DOH/DDD.

Based on the review, DOH/DDD determines whether the applicant meets criteria as defined by HRS Chapter 333F-1. If the applicant meets the criteria and is Medicaid eligible, DOH/DDD recommends to DHS/MQD that the applicant be evaluated as meeting the ICF-IID LOC. The recommendation is documented on the DHS 1150C form.

DHS/MQD receives the DHS 1150C form with attachments supporting the recommendation. The attachments include the physician's evaluation completed and signed by the applicant's physician, results of an adaptive functional assessment, a psychological evaluation if performed, and intake reports documenting personal/medical/family/social history, if no psychological evaluation is attached. The cognitive and adaptive scores and classifications (ID or DD) are included in the DHS 1150C form.

DHS/MQD reviews the DHS 1150C form and attachments and determines the ICF-IID LOC. If the applicant meets LOC, the applicant is admitted into the waiver. If denied and not admitted into the waiver, DHS/MQD issues a Notice of Action to the applicant, stating the denial and the right to appeal.

DOH/DDD maintains in its files, all forms and reports received that provide information to evaluate the applicant, e.g. waiver application, evaluation(s) including psychological, physical therapy, occupational therapy, speech evaluation, and adaptive functioning assessments, Department of Education information; a client profile form that summarizes the applicant's intellectual functioning, levels of support needed in self-care, communication, mobility, individual living environment, employment or supported employment, self-direction, and cognitive retention (adaptive behavior), and physical health/etiological considerations. This information is available to DHS/MQD and CMS should it be requested.

b) Reevaluation:
Annually, the DOH/DDD reevaluates the participant's waiver eligibility using available information such as quarterly DOH/DDD case management reviews, provider reports, in-person or telehealth interviews, the services planning assessment(s), e.g. Inventory for Client and Agency Planning (ICAP) or Supports Intensity Scale for Adults (SIS-A), the adaptive functional assessment, e.g. Adaptive Behavioral Assessment System (ABAS), and the Individualized Service Plan (ISP), as well as the annual physician's evaluation. A psychological evaluation will also be updated for children, for participants with mild-moderate intellectual disability, or for participants with major health changes whose cognitive or adaptive functioning may have changed. The DOH/DDD Qualified Intellectual Disability Professional (QIDP) – typically the Case Management Unit supervisor - determines whether the participant meets LOC. The LOC of participants whose cognitive or adaptive functioning may have changed (i.e. children, participants with mild ID and/or mild deficiencies in adaptive functioning, or participants with major health changes) are reviewed and determined by the DOH/DDD Clinical Interdisciplinary Team (CIT). The LOC reevaluation is maintained in the participant's file.

The DOH/DDD QIDP (typically the case management unit supervisor), following the case manager's recommendation determines whether the participant continues to meet LOC. If the participant's cognitive and adaptive functioning are unclear, a referral is made to the DOH/DDD clinical team for a determination. Any participant who does not meet LOC is reviewed by the clinical team as well as the DHS/MQD medical director prior to being discharged from the waiver. DOH/DDD provides the participant and/or guardian (if applicable) with a Notice of Action (NOA) stating the adverse action and the right to appeal to DOH/DDD and DHS/MQD.

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:

The DOH/DDD Case Management Unit supervisors perform reevaluations. The case management supervisor is an individual who has at least one year of experience working directly with persons with intellectual disability or other developmental disability and who has graduated from an accredited university or is licensed/certified in a field related to developmental disabilities.

Participants whose cognitive or adaptive functioning may have changed (children, or participants with mild ID and/or mild deficiencies in adaptive functioning, or participants with major health changes) are evaluated by the DOH/DDD Clinical Interdisciplinary Team (CIT), which is led by a DOH/ DDD physician licensed in the State of Hawaii.

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):*

Case management units maintain a tickler system to notify the DOH/DDD case managers at least three months in advance to complete the level of care reevaluation prior to the expiration of the existing evaluation. Completed level of care reevaluation documentation is kept in each participant’s chart. This is a component of case management.

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:

Evaluations and reevaluations are maintained in the participant’s chart. The participant’s original chart containing the evaluation/re-evaluation records is maintained in the assigned/respective case management unit.

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:
#/% of individuals applying for the waiver who receive a LOC evaluation N: # of individuals applying for the waiver who receive a LOC evaluation D: Total # of all individuals applying for the waiver for whom there is a reasonable indication that services may be needed in the future

Data Source (Select one):
Other
If 'Other' is selected, specify:
Database - DHS 1150C

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

	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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.

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:
#/% of initial LOC evaluations confirmed by the qualified DHS/MQD staff member as having complied with the processes and instruments in the approved waiver N: # of initial LOC evaluations confirmed by the qualified DHS/MQD staff member as having complied with the processes and instruments in the approved waiver D: Total # of initial LOC evaluations

Data Source (Select one):
Other
If 'Other' is selected, specify:
Initial record review

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

Data Aggregation and Analysis:

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

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.

DOH/DDD is responsible for tracking annual redeterminations, and completing peer and supervisory review activities to assist in identifying trends and individual problems, e.g., untimely or inappropriate determinations. When individual issues are identified, DOH/DDD is responsible for addressing and remediating the issues. DOH/DDD submits the review results to DHS/MQD. DHS/MQD performs its own review of records reviewed by DOH/DDD that were determined to be out of compliance and provide feedback as needed.

ii. Remediation Data Aggregation

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☒ **Monthly**

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

When the state does not have all elements of the quality improvement strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of 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).

Prior to admission into the waiver, the DOH/DDD case manager reviews the applicant’s service needs and options under the I/DD Waiver program. The applicant and legal guardian (if applicable) are informed of the choice to receive services through the waiver as an alternative to institutional placement. This is documented on the “Service Authorization Form”.

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.

Signed copies of the Service Authorization Form are maintained in the participant’s chart. The participant’s original chart containing the evaluation/re-evaluation records is maintained in the assigned/respective case management unit.

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):

DOH/DDD provides oral interpreters and sign language services to individuals with Limited English Proficiency (LEP) at no cost to the individual. There are a number of state case managers who are multi- lingual. DOH/DDD may use technology to communicate with those who do not use speech as their primary means of communication. DOH/DDD also produces information in alternate formats on request. The DOH/DDD offers these services in accordance with chapter 321C, Hawaii Revised Statutes, to ensure that individuals with LEP have meaningful access to state-funded services in Hawaii. This law applies to state agencies and covered entities, such as I/DD waiver providers, that receive state funding and provide services to the public. It requires state agencies and covered entities to establish a language access plan and take reasonable steps to ensure they provide meaningful access to individuals with LEP. By statute (Chapter 321C), the DOH Office of Language Access provides oversight that the language access needs of individuals with LEP are met by DOH and covered entities in a manner that ensures meaningful access to services, programs, and activities offered.

Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	**Adult Day Health (ADH)**		
Statutory Service	**Discovery & Career Planning (DCP)**		
Statutory Service	**Individual Employment Supports (IES)**		
Statutory Service	**Personal Assistance/Habilitation (PAB)**		
Statutory Service	**Personal Care Assistance (PCA)**		
Statutory Service	**Residential Habilitation (ResHab)**		
Statutory Service	**Respite**		
Other Service	**Additional Residential Supports (ARS)**		
Other Service	**Assistive Technology (AT)**		
Other Service	**Chore**		
Other Service	**Community Learning Services (CLS)**		
Other Service	**Community Navigator (CN)**		
Other Service	**Environmental Accessibility Adaptations (EAA)**		
Other Service	**Non-Medical Transportation (NMT)**		
Other Service	**Personal Emergency Response System (PERS)**		
Other Service	**Private Duty Nursing (PDN)**		
Other Service	**Residential Care Supports**		
Other Service	**Specialized Medical Equipment and Supplies (SMES)**		
Other Service	**Training and Consultation**		
Other Service	**Vehicle Modifications (VM)**		
Other Service	**Waiver Emergency Services**		

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 Health (ADH)

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
04 Day Services	04050 adult day health
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):*

Adult Day Health (ADH) covers structured age-relevant activities as specified in the Individualized Service Plan (ISP), in a non-institutional setting encompassing both health and social services needed to ensure the optimal functioning of the participant. The desired outcomes include measurable improvements in individual independence, increased participation in the community and other skill building that leads to increased community integration. Progress towards the participant's independence, community integration and skill development goals will be assessed and reviewed regularly to evaluate the measurable gains being made toward the goals.

Activities include training in activities of daily living (ADLs); instrumental activities of daily living (IADLs); communication; social skills and interpersonal relationships; choice making; problem-solving; teaching responsibility and team building, exploring interests through internet, books or other media available at the ADH location; and other areas of training identified in the ISP. Personal care/assistance may be a component part of ADH services as necessary to meet the needs of a participant but may not comprise the entirety of the service. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during delivery of the service, as needed.

Transportation between the individual's place of residence and the ADH setting is provided as a component part of the service and is included in the rate paid for ADH. Transportation to activities in the community is included in Community Learning Services (CLS). Transportation time between the participant's place of residence and the ADH location is not included in the ADH services time.

Any newly approved ADH provider must be in full compliance with the CMS HCBS Settings Final Rule and be able to demonstrate the provision of services in fully integrated community settings.

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

ADH excludes:
1) any time spent by the participant working for pay, including contracts, enclaves, groups or individual employment, regardless of the wage paid; and
2) supporting participants who independently perform activities that benefit the provider or its staff, meaning that the participant independently performs services that would otherwise require the provider or its staff to pay for that service. This does not include routine chores and activities that participants engage in to maintain their common areas, practice responsibility and teamwork.

Services will not duplicate services available to a participant under a program funded through section 110 of the Rehabilitation Act of 1973 or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401), but may complement those services beyond any program limitations.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Adult Day Health (ADH)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify)*:

If ADH includes nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.

Certificate *(specify)*:

Registered Behavior Technician (RBT) who is credentialed by the Behavior Analyst Certification Board (HRS §465D-7)

Other Standard *(specify)*:

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years

* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all DSW and RBT providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Prevocational Services

Alternate Service Title (if any):

Discovery & Career Planning (DCP)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
04 Day Services	04010 prevocational 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):*

Discovery & Career Planning (DCP) is the foundation for securing Customized Employment (CE): a process for achieving competitive integrated employment (CIE) or self-employment through an employee and employer relationship that is personalized to meet the needs of both. DCP is a qualitative process aimed to better understand a participant's strengths (potential contributions to employers), needs (the features that need to be in place for success), and interests (provides direction to the type of work that the participant wants to do). Discovery and Career Planning is based on the belief that all individuals with intellectual and developmental disabilities can work when given the opportunity, training, and supports that build on their strengths, abilities and interests. Based on the employment goals in the participant's Individualized Service Plan (ISP), this service is designed to assist participants to: 1) acquire skills to achieve underlying habilitative goals that are associated with building skills necessary to perform work in integrated community employment; 2) explore possibilities/impact of work; and 3) develop career goals through career exploration and learning about personal interests, skills, abilities, and conditions for employment. The outcome of DCP services is to complete or revise a career plan to guide job development and develop the knowledge and skills needed to get a job in a competitive, integrated workplace. This is defined as a work place in the community or self-employment where the participant receives at least minimum wage or the prevailing wage for that work, where the majority of individuals do not have disabilities, and which provides opportunities to interact with non-disabled individuals to the same extent that individuals employed in comparable positions would interact. Services are time-limited.

Participation in DCP is not a prerequisite for receiving Individual Employment Supports.

Personal care/assistance may be a component of DCP services, but may not comprise the entirety of the service. Nursing, for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during the delivery of the service, is completed under another waiver service, Training and Consultation, and is not included in this service.

Discovery and Career Planning services include:
1) home visits to learn as much about the participant as possible in the place they are most comfortable;
2) observing the participant in typical life activities, where the participant is at their best, to identify skills and factors that need to be in place to help ensure successful employment;
3) conducting in-depth interviews with people who know the participant well to gather and document information about the participant's interests, support needs, and performance in various activities;
4) develop Profiles to guide person-centered job development upon completion of DCP;
5) exploring employment goals, preferences, and interests to identify a career direction;
6) developing opportunities at local businesses for a participant to participate in work duties or new tasks related to their skills or emerging vocational interest for observation purposes;
7) task-based discovery activities in both familiar and new settings, individually developed for each participant based on their personal interests, in multiple community settings;
8) mobility training to be able to use fixed route and/or paratransit public transportation as independently as possible;
9) participating in time-limited work trials, apprenticeships, internships, and volunteer experiences to aid in determining a potential career path;
10) training in communication with supervisors, co-workers and customers; generally accepted workplace conduct and attire; ability to follow directions; ability to attend to tasks; workplace problem-solving skills and strategies; general workplace safety and other skills as identified through the person-centered planning process;
11) broad career exploration and self-discovery resulting in targeted employment opportunities including job shadowing, informational interviews and other integrated worksite based opportunities;
12) interviewing, video resumes and other job-seeking activities;
13) transitioning the participant into employment supports for individualized competitive integrated employment or self-employment from: a) volunteer work, apprenticeships, internships or work trials ; b) from a job the participant is currently in

that pays less than minimum wage; and c) from a more segregated setting or group employment situation;
14) financial literacy, money management, and budgeting; and
15) when assisting a participant who is already employed, activities to support the participant in explore other careers or opportunities.

DCP is not intended to teach the participant task specific skills to perform a particular job. This is provided through Individual Employment Supports.

Transportation to and from activities will be provided or arranged by the provider and is included in the rate paid for the service.

Service delivery can be provided via telehealth but must meet all of the following requirements:
1) Providers must follow HIPAA regulations and must use a non-public facing, HIPAA-compliant platform. The state will obtain written assurances from providers that services delivered via telehealth comply with HIPAA. The written assurance will be reviewed by the DOH-DDD compliance officer.
2) Services must be provided in a manner that ensures the participant's rights to privacy and choice including a signed telehealth informed consent that the participant has chosen telehealth as a modality for service delivery. The provider will provide information at the beginning of each telehealth encounter to the participant that the information is kept private and safeguards have been taken. The provider will be in a private location to ensure that others do not overhear the discussion.
3) The following is documented in the participant's person-centered plan:
a) how telehealth will be used to facilitate community integration and support the participant to meet their individual person-centered goals;
b) an assessment of whether telehealth is an appropriate way to deliver the service for the participant and is not used solely for the provider's convenience;
c) if accommodations are needed, how they will be provided including for those who need physical assistance or assistance with use of technology; and
d) how the participant's health and safety will be ensured.
4) The use of telehealth must be documented by the provider in the participant record.
5) The provider record and quarterly reports will document any issues with implementing the person-centered plan through telehealth.
6) Each session will begin with a check for health and safety. If there are health and safety concerns identified during telehealth, the provider will contact appropriate emergency services and submit a report to DOH-DDD if it meets the criteria for an adverse event.

Service delivery via telehealth may not be the only modality of overall waiver service delivery. The participant will have opportunities for community integration through waiver services provided in community settings.

Any newly approved Discovery & Career Planning provider must be in full compliance with the CMS HCBS Settings Final Rule and be able to demonstrate the provision of services in fully integrated community settings.

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

DCP services are limited to a maximum of 12 cumulative months with an expectation that the participant has a completed career plan to guide job development in a competitive integrated setting. An extension of the authorization may be made for a second 12-month interval if the participant loses their job or has experienced a major gap in employment due to health or other issues.

Services will not duplicate or replace services available to a participant under a program funded through section 110 of the Rehabilitation Act of 1973 or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401), but may complement those services beyond any program limitations.

DCP excludes:
1) vocational services where participants are supervised for the primary purpose of producing goods or performing services, including services provided in sheltered workshops and contract work at less than minimum wage;
2) payments that are passed through to participants, including payments of wages or stipends for internships or work experience;
3) paying employers incentives to encourage or subsidize the employer's participation in internships or apprenticeships;
4) supporting participants to volunteer at for-profit organizations or businesses or to independently perform services without pay ("volunteering") that benefit the waiver service provider or its staff and which would otherwise require the provider or staff to pay to have that service completed;

5) supporting any activities that involve payment of sub-minimum wage except for the purpose of assisting the participant to move into a job paying at or above minimum wage.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Discovery & Career Planning (DCP)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Certified Benefits Counselor from an accredited university

Other Standard *(specify)*:

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Must be approved by DOH/DDD and DHS/MQD in order to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all workers providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation

2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Employment Specialist: In addition to general staff requirements in waiver standards, complete specialized training in employment-related topics specified in waiver standards.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Supported Employment

Alternate Service Title (if any):

Individual Employment Supports (IES)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
03 Supported Employment	03010 job development
Category 2:	**Sub-Category 2:**
03 Supported Employment	03021 ongoing supported employment, individual
Category 3:	**Sub-Category 3:**
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):*

Individual Employment Supports (IES) are based on the belief that all adults with intellectual and developmental disabilities can work. IES provides the supports necessary not only to gain access to and maintain employment in the community, but also to help individuals to advance in their chosen fields and explore new employment options as their skills, interests, and needs change. Individual Employment Supports are designed to maximize the participant's skills, talents, abilities, and interests. Services should increase individual independence and fade over time, but may be ongoing based on the support needs of the participant.

The goal of IES is competitive integrated employment (CIE). This is defined as a work that is performed on a full-time or part-time basis for which an individual: 1) is compensated at or above minimum wage and comparable to the customary rate paid by the employer and employees without disabilities performing similar duties and with similar training and experience; 2) receives the same level of benefits provided to other employees without disabilities in similar positions; 3) works at a location where the employees interacts with individuals without disabilities; and 4) is presented opportunities for advancement similar to other employees without disabilities in similar positions.

Individual Employment Supports are provided in accordance with the participant's Individualized Service Plan (ISP) and developed through a detailed person-centered planning process, which includes annual assessment of employment goals.

Individual Employment Supports are activities needed to obtain and maintain an individual job in competitive or customized employment or self-employment, including home-based self-employment, and may include:
1) ongoing job coaching services to include on-the-job work skills training and systematic instruction required to perform the job;
2) person-centered employment planning;
3) job development, carving, or customization;
4) negotiations with prospective employers;
5) assistance for self-employment, including a) assistance with identifying potential business opportunities; b) assistance with the development of a business plan, including potential sources of business financing and other assistance needed to develop and launch a business; c) identification of supports needed in order for the participant to operate the business; and d) ongoing assistance, counseling and guidance once the business has been launched;
6) worksite visits or periodic check-ins, including by telehealth, as needed by the individual or employer to assess for new needs and to proactively support the participant to address issues that arise (typically at the worksite unless the individual requests visits outside the worksite or worksite visits are deemed disruptive by the employer);
7) ongoing evaluation of the individual's job performance except for supervisory activities rendered as a normal part of the business setting; training related to acclimating to or acceptance in the workplace environment, including effective communication with co-workers and supervisors and when and where to take breaks and lunch;
8) individualized problem-solving/advising with the participant about issues that could affect maintaining employment;
9) training in skills to communicate disability-related work support and accommodation needs;
10) assessing the need for basic job aids, facilitating referral through the participant's DOH/DDD case manager for assistive technology assessment, and acquisition of assistive technology from the Division of Vocational Rehabilitation;
11) facilitating referral through the DOH/DDD case manager to a Discovery & Career Planning provider for financial literacy, money management and budgeting;
12) providing information and training, as appropriate, for employers related to disability awareness, use of tax credits and other incentives, individual disability-specific training, and use of basic job aids and accommodations (may or may not be delivered with the participant present);
13) training in arranging and using transportation, including fixed route public transportation, paratransit services, natural supports or Non-Medical Transportation to get to and from the participant's place of employment;
14) training in fade plan strategies for increased independence; and
15) career advancement services.

Individual Employment Supports are typically delivered face-to-face with the participant. Exceptions where the participant may or may not be present include job development, negotiations with prospective employers, and meetings and phone calls where the participant may not be present, including discussions with the supervisor or family. Non face-to-face supports may be delivered concurrently with any other waiver service.

Service delivery can be provided via telehealth but must meet all of the following requirements:
1) Providers must follow HIPAA regulations and must use a non-public facing, HIPAA-compliant platform. The state will

obtain written assurances from providers that services delivered via telehealth comply with HIPAA. The written assurance will be reviewed by the DOH-DDD compliance officer.
2) Services must be provided in a manner that ensures the participant's rights to privacy and choice including a signed telehealth informed consent that the participant has chosen telehealth as a modality for service delivery. The provider will provide information at the beginning of each telehealth encounter to the participant that the information is kept private and safeguards have been taken. The provider will be in a private location to ensure that others do not overhear the discussion.
3) The following is documented in the participant's person-centered plan:
a) how telehealth will be used to facilitate community integration and support the participant to meet their individual person-centered goals;
b) an assessment of whether telehealth is an appropriate way to deliver the service for the participant and is not used solely for the provider's convenience;
c) if accommodations are needed, how they will be provided including for those who need physical assistance or assistance with use of technology; and
d) how the participant's health and safety will be ensured.
4) The use of telehealth must be documented by the provider in the participant record.
5) The provider record and quarterly reports will document any issues with implementing the person-centered plan through telehealth.
6) Each session will begin with a check for health and safety. If there are health and safety concerns identified during telehealth, the provider will contact appropriate emergency services and submit a report to DOH-DDD if it meets the criteria for an adverse event.

Service delivery via telehealth may not be the only modality of overall waiver service delivery. The participant will have opportunities for community integration through waiver services provided in community settings.

When Individual Employment Supports are provided at a work site where persons without disabilities are employed, payment is made only for the adaptations, supervision, and training required by the participant receiving waiver services as a result of their disabilities.

Personal care/assistance may be a component of Individual Employment Supports, but does not comprise the entirety of the service. If ongoing personal care assistance without job-related supports is needed, the DOH/DDD case manager may authorize Community Learning Services in the workplace. Nursing, for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during the delivery of the service, is completed under another waiver service, Training and Consultation, and is not included in this service.

CLS is a distinct service that does not duplicate the Individual Employment Supports-Job Coach services when used for the purpose of providing personal assistance to the participant at their job. When CLS and IES-Job Coach services are both authorized in the ISP, CLS delivered at the participant's job may be authorized to provide personal assistance while the job coach provides employment-related supports. In this situation, CLS and IES-Job Coach may be billed concurrently. Service delivery is monitored by the case manager through quarterly reports, as well as by the DOH/DDD monitoring team. All service delivery is subject to fiscal audit by DOH/DDD.

The job coach may transport the participant to and from the workplace on a temporary, transitional basis to assist the participant to retain employment while learning how to arrange and use transportation on an ongoing basis.

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

IES is limited to a maximum of 40 hours per week. Job Development activities must be related to the participant's job goal. Job Development activities are limited to 80 hours per plan year.

IES exclude:
1) supporting the participant to perform work that benefits the waiver provider, regardless of wage paid, including paid employment in an enterprise owned by the provider of Individual Employment Supports or a relative of that provider;
2) paying incentives, subsidies, or vocational training expenses;
-payments that are passed through to participants receiving Individual Employment Supports;
-payments for training that is not directly related to the participant's Individual Employment Supports;
3) paying expenses associated with starting up or operating a business;
4)continuing the service for the sole purpose of providing transportation to and from the place of employment once the participant no longer needs job coaching;
5) paying for supervision, training, support, and adaptations typically available to other workers without disabilities filling similar positions in the business;
6) supporting the participant to engage in self-employment that is not likely to result in earning at least minimum wage for

hours worked within the first year of creating the business;
7) supporting an activity if the activity is a hobby and not a business;
8) providing supervision, bookkeeping, or related administrative duties required to operate the participant's business.

Telehealth will not be used during this service:
a) to treat emergency needs; or
b) when the participant needs the provider of this service to be physically present and/or to provide physical assistance to ensure the participant's health, safety and to meet habilitative needs.

Services will not duplicate or replace services available to a participant under a program funded through section 110 of the Rehabilitation Act of 1973 or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401), but may complement those services beyond any program limitations.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Individual Employment Supports (IES)

Provider Category:
Agency
Provider Type:
Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years

* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all workers providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Employment Specialist: In addition to meeting general staff requirements in waiver standards, complete specialized training in employment-related topics specified in waiver standards.

Job Coach: In addition to meeting general staff requirements in waiver standards, complete specialized training topics specified in waiver standards.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review a sample of providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Habilitation

Alternate Service Title (if any):

Personal Assistance/Habilitation (PAB)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08010 home-based habilitation
Category 2:	**Sub-Category 2:**
08 Home-Based Services	08030 personal care

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 Assistance/Habilitation (PAB) covers a range of assistance and habilitative training provided primarily in the participant's home to enable a participant to acquire, retain, and/or improve skills related to living in their home. PAB services are provided in the participant's own home or family home.

PAB services are identified through the person-centered planning process and included in the Individualized Service Plan (ISP) to address measurable outcomes related to the participant's skills in the following areas:
1) Activities of Daily Living (ADL) skills: eating, bathing, dressing, grooming, toileting, personal hygiene, and transferring;
2) Instrumental Activities of Daily Living (IADL): light housework, laundry, meal preparation, arranging public transportation, preparing a grocery or shopping list, using the telephone, learning to self-administer medication, and budgeting:
3) mobility;
4) communication; and
5) social skills and adaptive behaviors.

PAB may be provided through hands-on assistance (actually performing a task for the participant), training (teaching the participant to perform all or part of a task), or multi-step instructional cueing (prompting the participant to perform a task). Assistance also may include active supervision as specified in the participant's ISP. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during provider-delivered PAB, as needed. For nurse delegated tasks performed during Consumer-Directed PAB, Training and Consultation (T&C) by an RN may be authorized.

Through the person-centered planning process, the participant is afforded the choice and flexibility to decide the skills/activities to work on in the home setting using PAB.

Personal Assistance/Habilitation (PAB) may be authorized to provide supports while the participant is receiving services in an acute-care hospital. The ISP must document that the supports provided by PAB are necessary to foster communication, provide intensive personal care and/or promote behavioral stabilization to support successful transitions back to the community or to maintain their functional abilities. These are services in the ISP that cannot be provided by hospital staff and are not a substitute for services the hospital is obligated to provide pursuant to its conditions of participation in Medicare and Medicaid, Federal or State law, or another applicable requirement.

Personal assistance/habilitation (PAB) services may be provided on an episodic or on a continuing basis. Retainer payments may be made for PAB while the participant is in the hospital. Such retainer payments will be limited to the lesser of 30 consecutive days or the number of days for which Hawaii authorizes bed-holds in nursing facilities.

The provider shall not be paid for a retainer payment and PAB during the same day that the participant is hospitalized. DDD will authorize retainer payments through the ISP process. The state will do post-payment reviews for all retainer claims to ensure that PAB and retainer payments were not billed by the provider for the same day and will recoup retainer payments if necessary.

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

PAB services are not provided in any licensed or certified residential home.

PAB services may not be provided at the same time (15-minute unit) as another face-to-face services, such as Personal Care

Assistance services.

Transportation is not included in PAB services.

Out-of-state PAB services cannot exceed 14 calendar days in a fiscal year (July 1 through June 30) for staff to accompany the participant. An exception process is in place for situations that could arise during travel that would require authorization of additional hours. Out-of-state PAB is approved for the same amount of hours as the current authorization.

For participants under age 21, PAB may not be delivered if such services have been determined to be medically necessary EPSDT services to be provided through the QUEST Integration (QI) health plans.

PAB services may not be delivered during the school day or educational hours as defined for that student through the Individualized Education Plan (IEP), including a reduced attendance schedule, home-school, or home-hospital instruction services. If a parent chooses to remove a minor-aged student from school, the waiver will not provide PAB services during the times when the participant would otherwise be attending school.

An individual serving as a designated representative for a waiver participant using the consumer-directed option may not provide PAB.

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	Enrolled I/DD Waiver Provider
Individual	Consumer Directed Direct Support Worker (DSW)

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistance/Habilitation (PAB)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify)*:

If PAB includes nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.

Certificate *(specify)*:

Registered Behavior Technician (RBT) who is credentialed by the Behavior Analyst Certification Board (HRS §465D-7)

Other Standard *(specify)*:

Agency: Meet Standards in Provider Services Agreement and waiver standards. Must be approved by DOH/DDD and

DHS/MQD in order to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all DSW and RBT providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

All direct support workers must possess satisfactory skills (skill level defined and identified in the IP) as verified and documented by a service supervisor in accordance with service-specific standards prior to service delivery and in the event of any changes to the Individual Plan. The service supervisor performs face-to-face observations/reviews of services being delivered to participants at the frequency specified in the ISP or if not specified, at least monthly. Notes are written for each visit and a report is submitted to the participant's case manager on a quarterly basis.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review of all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistance/Habilitation (PAB)

Provider Category:

Individual

Provider Type:

Consumer Directed Direct Support Worker (DSW)

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Consumer directed – must be at least 18 years of age, complete criminal history check, be able to work in the United States, meet qualifications in action plan if applicable - trained and supervised by the participant/designated representative

Verification of Provider Qualifications

Entity Responsible for Verification:

Employer/Designated Representative

Frequency of Verification:

Annual or more frequent intervals determined by the employer/designated representative

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 Care Assistance (PCA)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08030 personal care
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 Care Assistance (PCA) covers a range of assistance to enable participants to accomplish tasks that they would normally do for themselves if they did not have a disability. This assistance may take the form of hands-on assistance (actually performing a task for the person) or cuing to prompt the participant to perform a task. Personal care services may be provided on an episodic or on a continuing basis. PCA services are provided in the participant’s own home or family home.

PCA services are identified through the person-centered planning process and included in the Individualized Service Plan (ISP) to address measurable outcomes related to the participant's skills in the following areas:

1) Activities of Daily Living (ADL) skills: eating, bathing, dressing, grooming, toileting, personal hygiene, and transferring;
2) Instrumental Activities of Daily Living (IADL): light housework, laundry, meal preparation, arranging public transportation, preparing a grocery or shopping list, using the telephone, learning to self-administer medication, and budgeting:
3) mobility;
4) communication; and
5) social skills and adaptive behaviors.

Assistance also may include active supervision as specified in the participant's ISP. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during provider-delivered PCA, as needed.

Retainer payments may be made for PCA while the participant is in the hospital. Such retainer payments will be limited to the lesser of 30 consecutive days or the number of days for which Hawaii authorizes bed-holds in nursing facilities.

The provider shall not be paid for a retainer payment and PCA during the same day that the participant is hospitalized. DDD will authorize retainer payments through the ISP process. The state will do post-payment reviews for all retainer claims to ensure that PCA and retainer payments were not billed by the provider for the same day and will recoup retainer payments if necessary.

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

PCA services are not provided in any licensed or certified residential home.

PCA does not include habilitative training to enable a participant to acquire, retain, and/or improve skills related to living in their home.

Transportation is not included in PCA services.

Out-of-state PCA services cannot exceed 14 calendar days in a participant's plan year for staff to accompany the participant. An exception process is in place for situations that could arise during travel that would require authorization of additional hours. Out-of-state PCA is approved for the same amount of hours as the current authorization.

For participants under age 21, PCA may not be delivered if such services have been determined to be medically necessary EPSDT services to be provided through the QUEST Integration (QI) health plans.

PCA services may not be delivered during the school day or educational hours as defined for that student through the Individualized Education Plan (IEP), including a reduced attendance schedule, home-school, or home-hospital instruction services. If a parent chooses to remove a minor-aged student from school, the waiver will not provide PCA services during the times when the participant would otherwise be attending school.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Care Assistance (PCA)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

If PCA includes nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet Standards in Provider Services Agreement and waiver standards. Must be approved by DOH/DDD and DHS/MQD in order to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
• Minimum age of 18 years
• Able to work in the United States
• TB clearance
• First Aid & CPR Training
• Criminal history check
• Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all caregivers providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH-DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Residential Habilitation

Alternate Service Title (if any):

Residential Habilitation (ResHab)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08010 home-based habilitation
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):*

Residential Habilitation (ResHab) are individually tailored supports that assist with the acquisition, retention, or improvement in skills related to living in the community. These supports include adaptive skill development, assistance with activities of daily living and instrumental activities of daily living, community inclusion, transportation, and social and leisure skill development that assist participants to reside in the most integrated setting appropriate to their needs. Residential Habilitation does not include general care supervision which are required under the home's license or certification requirements. The provisions of routine housekeeping, meal preparation and chore activities are integral to and inherent in the provision of Residential Habilitation services in licensed and certified settings. Residential Habilitation is a service, not a setting.

Residential Habilitation may be provided in licensed and certified homes or in the community but does not duplicate services furnished to the participant as other types of habilitation; participants can receive Residential Habilitation on the same day as non-residential services.

Transportation between the participant's residence and activities in the community is provided as a component of Residential Habilitation services and the cost of transportation is included in the rate paid.

Personal care/assistance may be a component part of Residential Habilitation services but may not comprise the entirety of the service. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during delivery of the service, as needed.

Provider-owned or leased settings must be compliant with the Americans with Disability (ADA) requirements. These settings must also provide a home-like environment. Any providers must be in full compliance with the CMS HCBS Settings Final Rule.

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

ResHab rates were built on a 344-day billing year, ensuring providers are fully reimbursed for a full year of service after 344 billing days. As a result, billing is limited to 344 days per individual plan year.

ResHab services may not be provided on the same day as another daily service, such as Residential Care Supports.

Payment is not made for the cost of room and board or building maintenance, upkeep, or improvement. The method by which the costs of room and board are excluded from payment for Residential Habilitation is specified in Appendix I-5.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Residential Habilitation (ResHab)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

If ResHab includes nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.
Individual types of homes where services are delivered:
Developmental Disabilities Domiciliary Homes (DD Dom) - Chapter 333F, Hawaii Revised Statutes (HRS) and Chapter 11-89, Hawaii Administrative Rules (HAR);
Adult Residential Care Homes (ARCH/E-ARCH) – Chapter 321.15-6, HRS and Chapter 11-100.1, HAR

Certificate *(specify):*

Individual types of homes where services are delivered:
Certified Adult Foster Care Homes (AFH) – Chapter 321.11.2, HRS and Chapter 11-148, HAR

Individual caregiver in ARCH/E-ARCH
Certified Nurse Aide primary caregiver in ARCH/E-ARCH – Chapter 457-A, HRS and Chapter 89-A, HAR

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Be approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure that the home's caregiver maintains a valid and current license or certification, as applicable. Provider agency must have a mechanism in place to be notified by the caregiver of any change to the status of their license or certificate. Provider agency must visit each home on a monthly basis.

Training requirements are specific to the home's license or certification.

Licensed Homes:
Developmental Disabilities Domiciliary Homes (DD Dom)-
The primary caregiver must attend and pass a training program approved by the DOH and complete additional training yearly as part of the annual recertification by the DOH/Office of Health Care Assurance. Annual monitoring for recertification is completed by the DOH/Office of Health Care Assurance.

Adult Residential Care Homes (ARCH and E-ARCH) –
The primary caregiver is at a minimum, a certified nurse aide (CNA) with training that includes activities of daily living and medication administration. Each home is monitored by the DOH/Office of Health Care Assurance on an annual basis.

Certified Homes:
Certified Adult Foster Care Homes (AFH) –
AFH caregivers and substitute caregivers must successfully complete the DOH/DDD orientation and training prior to receiving certification. Each home is monitored by the DOH/DDD Certification Unit on an annual basis.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:	Sub-Category 1:
09 Caregiver Support	09012 respite, in-home

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 living in family homes and are furnished on a short-term basis to provide relief to those persons who normally provide uncompensated care for the participant. Respite may be provided in the participant's own home, the private residence of a respite care worker, community settings, a DD Domiciliary Home, a DD Adult Foster Home, an Adult Residential Care Home, or an Expanded Adult Residential Care Home. The addition of community settings was based on feedback from participants and stakeholders to broaden the locations where Respite could be delivered, which may include the home of direct support professional.

Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during provider-delivered Respite, as needed. For nurse delegated tasks performed during Consumer-Directed Respite, Training and Consultation (T&C) by an RN may be authorized.

If the participant requires nursing assessment, judgment, and interventions during Respite for non-delegable nursing tasks, the service may be provided by a Registered Nurse (RN) or a Licensed Practical Nurse (LPN) under the supervision of a RN.

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

Multiple episodes of respite may occur during the year; however, any single episode of respite is limited to 14 consecutive days. The total annual amount of Respite is limited to 760 hours. The DOH/DDD will perform further authorization on a case-by-case basis.

Respite services provided by a RN or LPN are available only to participants receiving Private Duty Nursing (PDN) through QUEST Integration EPSDT services (for children under age 21) or through the 1915(c) I/DD waiver service (for adults age 21 and older). Respite services provided by a RN or LPN must be obtained from a Medicaid Waiver provider and cannot be consumer-directed. Respite services provided by a nurse shall not be authorized to supplement PDN hours on a regular scheduled basis.

Respite cannot be used during times when the person providing care is being paid to deliver another waiver service. It is limited to providing for relief during times when the person is not being paid to provide care to the participant.

Daily Respite is limited to those services provided in licensed or certified residential homes. The payment rate excludes costs associated with room and board. Federal financial participation is not to be claimed for the cost of room and board except when provided as part of respite care furnished in a facility approved by the state that is not a private residence.

A guardian or legally responsible adult (parent of a minor aged 17 and younger or spouse of the participant) cannot be the Respite worker. An individual serving as a designated representative for a waiver participant using the consumer-directed option may not provide Respite.

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	Enrolled I/DD Waiver Provider
Individual	Consumer Directed Direct Support Worker (DSW)

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

If Respite services include nurse delegated activities, oversight is required by a:
Licensed Registered Nurse per Chapter 457, Hawaii Revised Statutes

If Respite services are delivered by a nurse employed by the agency:
Licensed Registered Nurse per Chapter 457, Hawaii Revised Statutes
Licensed Practical Nurse per Chapter 457, Hawaii Revised Statutes

If Respite services are delivered on a daily basis, individual types of homes where services are delivered:
Developmental Disabilities Domiciliary Homes (DD Dom) - Chapter 333F, Hawaii Revised Statutes (HRS) and Chapter 11-89, Hawaii Administrative Rules (HAR);
Adult Residential Care Homes (ARCH/E-ARCH) – Chapter 321.15-6, HRS and Chapter 11-100.1, HAR

Certificate *(specify):*

If Respite services are delivered in an ARCH/E-ARCH, the Individual caregiver requirement is:
Certified Nurse Aide primary caregiver in ARCH/E-ARCH – Chapter 457-A, HRS and Chapter 89-A, HAR

If Respite services are delivered on a daily basis, Individual types of homes where services are delivered:
Certified Adult Foster Care Homes (AFH) – Chapter 321.11.2, HRS and Chapter 11-148, HAR

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States

* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all workers providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Training requirements are specific to the home's license or certification.

Licensed Homes:
Developmental Disabilities Domiciliary Homes (DD Dom)-
The primary caregiver must attend and pass a training program approved by the DOH and complete additional training yearly as part of the annual recertification by the DOH/Office of Health Care Assurance. Annual monitoring for recertification is completed by the DOH/Office of Health Care Assurance.

Adult Residential Care Homes (ARCH and E-ARCH) –
The primary caregiver is at a minimum, a certified nurse aide (CNA) with training that includes activities of daily living and medication administration. Each home is monitored by the DOH/Office of Health Care Assurance on an annual basis.

Certified Homes:
Certified Adult Foster Care Homes (AFH) –
AFH caregivers and substitute caregivers must successfully complete the DOH/DDD orientation and training prior to receiving certification. Each home is monitored by the DOH/DDD Certification Unit on an annual basis.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite

Provider Category:

Individual

Provider Type:

Consumer Directed Direct Support Worker (DSW)

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Consumer directed – at least 18 years of age, complete criminal history check, be able to work in the United States , meet qualifications in action plan if applicable - trained and supervised by the participant/designated representative

Verification of Provider Qualifications

Entity Responsible for Verification:

Employer/Designated Representative

Frequency of Verification:

Annual or more frequent intervals determined by the employer/designated representative

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:

Additional Residential Supports (ARS)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08010 home-based habilitation
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):*

This service provides direct support worker staff hours to assist the Residential Habilitation (ResHab) caregiver when a participant experiences a physical or behavioral change that exceeds the level of staffing funded through their ResHab rate.

The outcome of this service is to stabilize a participant's placement in the ResHab home, support the family unit, prevent loss of placement, and/or prevent a crisis. The service is intended to be short-term (less than 90 days) but can be renewed for additional periods depending on the participant's needs. This service must be prior authorized by DOH/DDD based on clinical review. Redetermination of extensions to the short-term authorization shall be made on an individual basis by DOH/DDD.

Additional Residential Supports may be used to provide an additional staff person where a participant's documented physical or behavioral change prevents the ResHab provider from implementing the goals identified in the Individualized Service Plan (ISP) for assistance with adaptive skill development, assistance with activities of daily living and instrumental activities of daily living, community inclusion, and social and leisure skill development. This additional staffing may be used for changes to the participant's physical abilities due to a significant change in health condition caused by illness, injury, or surgery, or where a change in the participant's behaviors requires additional staffing to implement the behavior strategies while the participant is assessed to identify any physical, environmental, or mental health issues impacting the change in behavior.

The service must be specified in the Individualized Service Plan (ISP). Additional Residential Supports is a distinct and separate service that can be billed in 15-minute increments during the ResHab day. The service is only available when documented needs exceed the staffing level assumed and funded in the rate model for the participant's applicable ResHab rate. When requesting the service, the provider must submit a proposed staffing schedule that illustrates the baseline ResHab staffing and the Additional Residential Supports hours being requested. Providers will be required to maintain daily staffing logs, timesheets, and/ or other documentation that demonstrates total staffing hours including those hours that exceed the ResHab requirements.

A request for Additional Residential Supports must include documentation that the provider is providing the full amount of staffing hours already funded in the applicable Residential Habilitation rate model. The DOH/DDD review of the request will consider total staffing funded in the rates for each participant because staff hours are generally shared across residents. The provider will also submit documentation outlining the reasons for needing additional staff hours and a plan for phasing-out the extra staff hours.

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

The caregiver or any other member of the household is prohibited from being the provider of Additional Residential Supports.

Additional Residential Supports is limited to certified Adult Foster Homes (AFH), Developmental Disabilities Domiciliary Homes (DD Doms), Adult Residential Care Homes (ARCH), and Expanded Adult Residential Care Homes (E-ARCH).

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Additional Residential Supports (ARS)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Registered Behavior Technician (RBT) who is credentialed by the Behavior Analyst Certification Board (HRS §465D-7)

Other Standard *(specify):*

Agency: Meet all requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all DSW and RBT providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Prior to and after service delivery OR DOH/DDD staff review a sample of providers annually. Staff may conduct announced and unannounced reviews at any time.

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 (AT)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	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 device means an 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. The assistive technology must be for the use of the participant and necessary as specified in the ISP to assist the participant in achieving identified measurable goals, to have high potential to increase autonomy, and to reduce the need for physical assistance, and to be the most cost-effective option. A functional assessment that evaluates the impact of the provision of appropriate assistive technology and appropriate services to the participant in the customary environment of the participant must be completed by a clinician working within the scope of his their license.

Assistive technology services include:
1) assisting the participant to select, purchase, lease, or acquire assistive technology devices for participants;
2) designing, fitting, customizing, adapting, applying, maintaining, repairing, or replacing assistive technology devices; and
3) coordinating with the DOH/DDD case manager to obtain any necessary therapies, interventions, or services with assistive technology devices.

Assessment and training related to the Assistive Technology are completed under another waiver service, Training & Consultation, and are not included in this service.

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

Commercially-available technology including tablets and software applications are available only for the purposes of communication if not covered by the QUEST Integration health plan or as a job aid for employment if not covered by the Division of Vocational Rehabilitation.

Documentation is maintained in the file of each participant receiving this service that the service is not available under a program funded through section 110 of the Rehabilitation Act of 1973 or the Individuals with Disabilities Education act (20 U.S.C. 1401 et seq.), covered by EPSDT or the State Plan through the QUEST Integration health plans, or covered by other insurance. If the device would have been covered by another program but the applicable plan rules were not followed, the device shall not be purchased using waiver funds.

Replacement of assistive technology may be made when an assessment determines that it is more cost-effective to replace rather than repair the item and shall not occur more frequently than once a year for low-technology solutions or once every two years for customized, adapted, or higher-technology devices.

The purchase, training and upkeep of service animals are excluded. Internet, cable and/or cell phone service plans are excluded.

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	Vendor
Agency	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Assistive Technology (AT)

Provider Category:

Individual

Provider Type:

Vendor

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Vendor that meets applicable state licensure, registration, and certification requirements (be authorized by the manufacturer to sell, install, and/or repair equipment if applicable and ensure that all items meet applicable standards for manufacture, design, and installation). Be a registered business through the State of Hawaii Department of Commerce & Consumer Affairs.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Prior to and after service delivery

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Assistive Technology (AT)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Chore

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08060 chore

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):*

Chore services are needed to maintain the participant‘s home in a clean, sanitary, and safe manner. This service includes heavy household chores: washing floors, windows, and walls; tacking down loose rugs and tiles; and moving heavy items of furniture, in order to provide safe access and egress. Chore also includes more routine or regular services in the performance of general household tasks: meal preparation and routine household care for the participant only. These services are available to participants living independently who need Chore services and are without natural (non-paid) supports or who are living with family but the natural supports are physically unable to perform the chores. Documentation must indicate that no other party is capable of and responsible for providing chore services, including the participant, anyone else financially providing for the participant, and another relative, caregiver, landlord, community/volunteer agency, state service or third party payer.

Chore services are not face-to-face with the participant and may be provided at the same time (same 15-minute period) as the participant receives another waiver service.

In the case of a rental property , the responsibility of a landlord, pursuant to the lease agreement, is examined prior to authorization of Chore services.

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

Chore services may not be authorized for participants who live independently or with family where either the participant or natural supports are able to perform this service.

An individual serving as a designated representative for a waiver participant using the consumer-directed option may not provide Chore services.

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	Enrolled I/DD Waiver Provider
Individual	Consumer Directed Direct Support Worker (DSW)

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Chore

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Registered Behavior Technician (RBT) who is credentialed by the Behavior Analyst Certification Board (HRS §465D-7)

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all DSW and RBT providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Chore

Provider Category:

Individual

Provider Type:

Consumer Directed Direct Support Worker (DSW)

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Consumer directed – is 18 years of age or older, completes criminal history check, is able to work in the United States, and meets qualifications in action plan if applicable - trained and supervised by the participant/designated representative

Verification of Provider Qualifications

Entity Responsible for Verification:

Employer/Designated Representative

Frequency of Verification:

Annual or more frequent intervals determined by the employer/designated representative

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:

Community Learning Services (CLS)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
04 Day Services	04070 community integration
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):*

Community Learning Services (CLS) assist the participant to maintain, learn, or improve skills; develop social roles valued by non-disabled members of the community; use community resources; pursue leisure skills and hobbies; and exercise civil rights and self-advocacy skills required for active community participation. Services will meet the participant's needs and preferences for community participation, including the participant's choice whether to do the activity individually or with a small group of others who share that interest. The intended outcome of CLS is to support the participant to access the community in a manner that best meets their choices and interests. CLS includes assistance and supervision for community activities to maintain current skills, as well as training that may lead to greater independence in their chosen community activities.

CLS is available to participants of all ages. For children, CLS is used to support the goals and outcomes identified in the ISP that involve age-appropriate activities with their peers in locations where children gather, engaging with other children with similar interests, and building relationships with peers outside of school. As children reach their teen years, CLS also includes developing and identifying interests that could lead to exploring, discovery, and planning for competitive integrated employment through the Discovery and Career Planning Service. CLS is not intended to replace the family's responsibilities for child care, after-school activities, or typical family activities.

CLS is delivered in integrated settings in the community, outside the participant's place of residence or ADH setting.

These services can occur during the day, evening, and weekend, based on the choice of the participant when to use CLS.

CLS can be used by an individual for ongoing supports to volunteer at non-profit organizations or work in competitive integrated employment. The responsibilities of CLS staff include personal care assistance, as well as habilitative training in activities of daily living that would not be typically be provided by co-workers or supervisors at the volunteer or work site. The need for ongoing supports using CLS is made based on an assessment by the DOH/DDD case manager at least annually, as part of the person-centered planning process.

Personal care/assistance may be a component part of CLS as necessary to meet the needs of a participant but may not comprise the entirety of the service. The participant's ISP can specify an exception for this provision when CLS is provided at the participant's workplace. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during provider-delivery CLS, as needed. For nurse delegated tasks performed during Consumer-Directed CLS, Training and Consultation (T&C) by an RN may be authorized.

When the CLS worker is supporting a participant in community activities where the Community Navigator is performing on-site coaching, modeling and/or assistance with the participant, both services may be billed at the same time to aid in continuity and transitioning to the CLS worker as the Community Navigator service will fade.

Transportation to and from the participant's residence to the community location is provided through CLS and is included in the provider's rate paid for the service.

Out-of-state CLS cannot exceed 14 calendar days in a fiscal year (July 1 through June 30) for staff to accompany the participant. An exception process is in place for situations that could arise during travel that would require authorization of additional hours. Out-of-state CLS is approved for the same amount of hours as the current authorization.

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

An individual serving as a designated representative for a waiver participant using the consumer-directed option may not provide CLS.

CLS does not include educational services otherwise available through a program funded under section 602(16) and (17) of the Individuals with Disabilities Education Act (28 U.S.C. 1401), but may complement those services beyond any program limitations.

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	Consumer-Directed Community Learning Services Worker
Agency	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Learning Services (CLS)

Provider Category:

Individual

Provider Type:

Consumer-Directed Community Learning Services Worker

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Consumer directed — staff must be at least 18 years of age, be able to work in the United States, completes criminal history background check , meets qualifications in action plan if applicable , and is trained and supervised by the participant/designated representative

Verification of Provider Qualifications

Entity Responsible for Verification:

Employer/Designated Representative

Frequency of Verification:

Annual or more frequent intervals determined by the employer/designated representative

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Learning Services (CLS)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

If CLS includes nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.

Certificate *(specify):*

Registered Behavior Technician (RBT) who is credentialed by the Behavior Analyst Certification Board (HRS §465D-7)

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all DSW and RBT providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Community Navigator (CN)

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
17 Other Services	17990 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):*

Community Navigator services strengthen participants' social valued roles in their community. The service is designed to assist and support the participant to identify, connect, participate, and fully engage in integrated community activities and resources of interest to the participant in accordance with their ISP goals. Integrated community activities and resources are those that are available to all members of the community. This service is designed to be time limited. Community Navigator services emphasize, promote and develop community resources and natural supports to address the individual's needs in addition to paid services. During the person-centered planning process, the participant and their circle of support will discuss the focus of Community Navigator service on developing community opportunities and supporting the participant to successfully achieve their ISP goals for community integration.

Community Navigator services should align with the four (4) Community Life Engagement Guideposts as follows:
1) Individualize supports for each participant.
2) Promote community membership and contribution.
3) Use human and social capital to decrease dependence on paid support.
4) Ensure that supports are outcome-oriented and regularly monitored.

Some typical examples of community activities include:
-volunteering
-attending adult education (college, vocational training, and other educational opportunities);
-attending community-based classes for learning new skills or developing hobbies or leisure/cultural interests;
-joining and participating in formal or informal associations and/or community groups;
-civic engagement;
-training and education in self-determination and self-advocacy;
-participating in physical activities (affiliations with sports teams); and

-engaging in a broad range of community settings and activities that enable the participant to make community connections.

Nursing, for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during the delivery of the service, is completed under another waiver service, Training and Consultation, and is not included in this service.

Community Navigator services are primarily focused on working directly with the participant to:
a) learn about their interests and help in identifying/exploring the type of community options that can maximize their opportunities for meaningful engagement and growth in independence;
b) develop a plan with step-by-step strategies that can be followed by the participant, family/friends, caregivers and Community Learning Services (CLS) worker, if applicable. The plan should address approaches to reduce barriers and challenges to accessing community resources and activities, as well as strategies to ensure that the participant is able to continue participating on an ongoing basis if they choose. The ISP/IP should identify targeted actions that will promote community integration and independent or naturally supported involvement;
c) prepare information and tools that are individualized to aid the participant in determining which community activities and resources to pursue;
d) provide advocacy and support to help guide the participant in problem solving and decision making that enhances their ability to interact and contribute in the local community;
e) provide guidance, demonstration, coaching, modeling and/or assistance with the participant regarding how to access the identified integrated community activities, supports, services, and/or resources. On-site coaching, modeling and/or assistance are intended to be brief and intermittent, not for long-term or ongoing waiver supports, such as Community Learning Services (CLS). When the Community Navigator is performing these functions, while another waiver service, such as CLS, is being utilized by the participant for ongoing support, both services may be billed at the same time;
f) ensure the participant's active and appropriate utilization of the activities, supports, services and/or resources to which the Community Navigator assisted in connecting the participant;
g) provide periodic check-ins with the participant upon request to determine if any adjustments are needed.

Community Navigator services are typically delivered face-to-face with the participant. Exceptions where the participant may or may not be present include:
a) assist the participant in connecting to the identified, non-Medicaid funded community resources by researching, contacting the parties responsible for the activities, supports, services, and/or resources, and working with the community parties to address any preparations or accommodations the participant needs;
b) consult with the case manager as needed to ensure coordination with the participant’s ISP goals and outcomes;
c) work with service supervisors of CLS services if the participant will use CLS supports during their chosen integrated community activities, The service supervisor is responsible for training the CLS worker, assisting in the transition from Community Navigator to ongoing CLS, and monitoring ongoing performance in delivering CLS;
d) other activities that are identified by the participant and circle of support to create successful community experiences for the participant.

When the Community Navigator is working directly with the participant, the service may be provided at any location the participant chooses, or by telehealth, based on their preference and individual circumstances.

Service delivery can be provided via telehealth but must meet all of the following requirements:
1) Providers must follow HIPAA regulations and must use a non-public facing, HIPAA-compliant platform. The state will obtain written assurances from providers that services delivered via telehealth comply with HIPAA. The written assurance will be reviewed by the DOH-DDD compliance officer.
2) Services must be provided in a manner that ensures the participant’s rights to privacy and choice including a signed telehealth informed consent that the participant has chosen telehealth as a modality for service delivery. The provider will provide information at the beginning of each telehealth encounter to the participant that the information is kept private and safeguards have been taken. The provider will be in a private location to ensure that others do not overhear the discussion.
3) The following is documented in the participant’s person-centered plan:
a) how telehealth will be used to facilitate community integration and support the participant to meet their individual person-centered goals;
b) an assessment of whether telehealth is an appropriate way to deliver the service for the participant and is not used solely for the provider’s convenience;
c) if accommodations are needed, how they will be provided including for those who need physical assistance or assistance with use of technology; and
d) how the participant’s health and safety will be ensured.
4) The use of telehealth must be documented by the provider in the participant record.
5) The provider record and quarterly reports will document any issues with implementing the person-centered plan through

telehealth.
6) Each session will begin with a check for health and safety. If there are health and safety concerns identified during telehealth, the provider will contact appropriate emergency services and submit a report to DOH-DDD if it meets the criteria for an adverse event.

Service delivery via telehealth may not be the only modality of overall waiver service delivery. The participant will have opportunities for community integration through waiver services provided in community settings.

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

Community Navigator services are limited to 80 hours per plan year.

This is a distinct and unique service that does not duplicate Community Learning Services, which are paid supports a participant may use on an ongoing basis to maintain, learn, or improve skills in the community.

Community Navigator personnel cannot be the direct support worker or the service supervisor of CLS services provided to the same participant.

Telehealth will not be used during this service:
a) to treat emergency needs; or
b) when the participant needs the provider of this service to be physically present and/or to provide physical assistance to ensure the participant's health, safety and to meet habilitative needs.

Activities performed when the participant may no be present, including researching and contacting potential sites or brokering supports, services and resources, shall not comprise more than twenty-five percent (25%) of the total hours authorized in the ISP.

Community Navigator services will not supplant, replace, or duplicate activities that are required to be provided by the case manager.

Community Navigator services will not supplant, replace or duplicate services that are available to a participant under the Medicaid State Plan, any third-party payer, a program funded through section 110 of the Rehabilitation Act of 1973 or section 602(16) and (17) of the Individuals with Disabilities Education Act (30 U.S.C. 1401 et seq.).

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Navigator (CN)

Provider Category:
Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet Standards requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Provider agency must also assure all workers providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Community Navigator: Has the experience, training, education or skill necessary to meet the participant s need for Community Services as demonstrated by a minimum of bachelor’s degree in a human service field and a minimum of one (1) year of experience in providing direct assistance to individuals with disabilities to network within a local community or comparable training, education or skills.

In place of a degree, a qualified provider may have a high school diploma or equivalent (GED) and a minimum of two (2) years of experience providing direct assistance to individuals with developmental disabilities and completes training in community integration. Training curriculum is at the discretion of DOH/DDD.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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 Accessibility Adaptations (EAA)

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
14 Equipment, Technology, and Modifications	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 Accessibility Adaptations (EAA) cover physical adaptations permanently installed in the participant's home, required by the participant's ISP to ensure the health, welfare, and safety of the participant and enable the participant to function with greater independence in the home. Adaptations include the installation of ramps and grab bars, widening of doorways, modification of bathroom facilities, environmental control devices that replace the need for physical assistance and increase the participant's ability to live independently, or the installation of specialized electric and plumbing systems needed to accommodate the medical equipment and supplies necessary for the welfare of the participant and directly related to their developmental disability.

Adaptations must be of direct medical or remedial benefit and not be considered experimental.

"Direct medical or remedial" benefit is a prescribed specialized treatment and its associated equipment or environmental accessibility adaptation that are essential to the implementation of the ISP and without which the participant would be at high risk of institutional or more restrictive placement. "Experimental" means that the validity of the use of the adaptation and associated equipment has not been supported in one or more studies in a refereed professional journal.

Assessment and training related to the EAA are completed under another waiver service, Training & Consultation, and are not included in this service.

Adaptations are for homes owned by the participant and/or legal guardian (if applicable) or family with documentation provided to demonstrate ownership. Adaptations may be completed on a rental property where the property owner has agreed in writing to the adaptation and will not require that the property be restored to the previous floor plan or condition.

Adaptations must be ordered by a physician or other health provider with prescriptive authority under Hawaii law. The order

must be dated within one year of the request.

All adaptations shall be made utilizing the most cost-effective materials and supplies. The environmental modification must incorporate reasonable and necessary construction standards.

The infrastructure of the home involved in the funded adaptations must be in compliance with any applicable local codes.

Prior authorization by DOH-DDD is required based on clinical review. The process is the same for obtaining any EAA, whether for a first modification or if requesting an exception because of extenuating circumstances that could not be anticipated at the time the initial environmental accessibility adaptation was completed. The process begins with the person-centered planning discussion and recommendations in the ISP. A referral is made to obtain a Training & Consultation (T&C) assessment by a licensed clinician, generally an occupational therapist or physical therapist. Once the assessment and recommendations are completed, it is reviewed by a team of DOH/DDD staff. The review determines if all the necessary information has been provided for justification of medical need or if additional information is required to develop the scope of work. The scope is posted on the State of Hawaii procurement website and contractors submit bids. The bids are reviewed and an award is made. Once the work is completed, the T&C clinician that completed the initial assessment visits the home, trains the family and participant, and signs off that the adaptation meets the individual's needs. The DOH/DDD team works closely with the case manager, unit supervisor, and section supervisor to facilitate the process. If the requested adaptation does not meet medical need or waiver requirements for authorization through the waiver, the participant or legal representative, if applicable, is given a Notice of Action stating the reason for the action taken and may appeal that decision.

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

EAA will not supplant services available through the approved Medicaid State plan under the home health benefit or the EPSDT benefit.

There is a limit of $55,000 per request which includes a maximum of $45,000 for the modification by the licensed building contractor and a maximum of $10,000 for the engineering or architectural drawings and permits required by the city or county where the home is located.

Exceptions may be made for modifications that exceed the limits of $10,000 and $45,000, if necessary, to ensure the health, welfare, and safety of the participant in the home.

Requests for modifications are limited to once in the life expectancy of the modification as follows:
-Grab bars – 5 years
-Environmental Control Devices – 5 years
-Exterior ramp – 7 years
-Bathroom modification – 15 years
-Widen doors and hallways – 15 years
-Other modifications – determined on a case-by-case basis

Participants may request that DOH/DDD review the participant's situation if a modification is needed prior to the life expectancy of the modification period.

Exceptions may be made for the health and safety of the participant, including a change to the participant's condition necessitating a modification in order to remain in the community.

Excluded are those adaptations or improvements to the home that are of general utility and are not of direct medical or remedial benefit to the participant (including carpeting; roof repair; sidewalks; driveways; garages; hot tubs; whirlpool tubs; swimming pools; landscaping; pest control; converting or updating a cesspool to a septic tank system or an aerobic treatment unit system, or connecting to a sewer system; and general home repairs and maintenance). Cosmetic improvements are excluded. Egress is limited to one exterior door.

Additional square footage is excluded. Additional square footage means adding to the home's living area or living space that is considered "habitable space" in the building code. EAA shall not be authorized to build an extension or addition at, above, or below grade on the existing structure of living area; convert and/or enclose a garage, shed, carport space, porch, lanai or other non-living space that does not meet minimum ceiling height requirements; or construct an ohana or accessory dwelling unit. If the homeowner builds an addition onto the home, EAA may be authorized for the modifications needed inside the new space to meet the participant's accessibility needs. This service shall exclude costs for improvements exclusively required to meet local building codes.

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	Enrolled I/DD Waiver Provider
Individual	Independent Contractor

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Environmental Accessibility Adaptations (EAA)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

Meet Standards in Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Environmental Accessibility Adaptations (EAA)

Provider Category:

Individual

Provider Type:

Independent Contractor

Provider Qualifications

License *(specify):*

State of Hawaii Department of Commerce & Consumer Affairs State General Excise Tax (GET) License
Valid "B" General Building Contractor license per Hawaii Revised Statutes section 444-7(c)
Valid "C" Specialty Contractor license per Hawaii Revised Statutes section 444-7(d)

Certificate *(specify):*

Other Standard *(specify):*

Must be licensed to do business in the State of Hawaii and able to enter into contracts with the State.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Prior to, during and after service delivery

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 (NMT)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
15 Non-Medical Transportation	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 enables participants to gain access to community services, activities, jobs, and resources as specified in the Individualized Service Plan (ISP) and when no other waiver service is responsible for providing the transportation.

Whenever possible, family, neighbors, friends, or community agencies, who can provide this service without charge are utilized. The service may be used by a participant who lives in a rural or other area where public transportation is limited, unavailable or does not meet the participant's needs identified in the ISP. This service may be consumer-directed.

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

This service shall not be used to provide medical transportation required under 42 CFR §431.53 and transportation services under the State plan delivered through the QUEST Integration health plans. Non-Medical Transportation may not duplicate transportation that is included within another waiver service or to transport the participant to a setting that is the responsibility of another agency.

An individual serving as a designated representative for a waiver participant using the consumer-directed option may not provide Non-Medical Transportation. Non-Medical Transportation may not be provided to children less than 18 years of age, by parents, step-parents, or the legal guardian of the minor. Non-Medical Transportation may not be provided to a participant by their spouse.

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	Consumer Directed Direct Support Worker (DSW)
Agency	Enrolled I/DD Waiver Provider
Individual	Consumer Directed Vendor

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Non-Medical Transportation (NMT)

Provider Category:

Individual

Provider Type:

Consumer Directed Direct Support Worker (DSW)

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Consumer directed – is 18 years of age or older, completes criminal history check, is able to work in the United States, and meets qualifications in action plan if applicable - trained and supervised by the participant/designated representative. In addition, the consumer-directed employee must possess:
1) Valid Hawaii driver's license;
2) Public Utilities Commission (PUC) license as appropriate;
3) Current automobile insurance (meets or exceeds minimum requirements under Hawaii state law).

Verification of Provider Qualifications

Entity Responsible for Verification:

Employer/Designated Representative

Frequency of Verification:

Annual or more frequent intervals determined by the employer/designated representative

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Non-Medical Transportation (NMT)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Public Utilities Commission (PUC) license as appropriate, per Hawaii Revised Statutes, Section 271-8

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA)

Each agency must follow PUC standards, as applicable.
Direct Support Worker: Must be at least 18 years of age; able to work in the United States; meet all general staff requirements in Waiver Standards, including orientation upon hire, annual training on mandatory topics, TB clearance, First Aid & CPR training; and able to perform the duties required for the position, including the ability to understand and follow instructions and complete written documentation. In addition, the worker must possess:
1) Valid Hawaii driver's license;
2) Public Utilities Commission (PUC) license as appropriate;

3) Current automobile insurance (meets or exceeds minimum requirements under Hawaii state law).

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Non-Medical Transportation (NMT)

Provider Category:

Individual

Provider Type:

Consumer Directed Vendor

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Vendor that meets applicable state licensure, registration, and/or certification requirements (be authorized to transport members of the public). Be a registered business through the State of Hawaii Department of Commerce & Consumer Affairs. The Vendor's drivers must possess:
1) Valid Hawaii driver's license;
2) Public Utilities Commission (PUC) license as appropriate;
3) Current automobile insurance (meets or exceeds minimum requirements under Hawaii state law).

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Annual or more frequent intervals determined by the employer/designated representative

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:	Sub-Category 1:
14 Equipment, Technology, and Modifications	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):*

PERS is a commercially available system used by waiver participants who need assistance to secure help in an emergency while maintaining independence at home. This service is available for participants living in their own home or family home except that trials in licensed or certified settings are permissible.

This service must be authorized through the ISP process using a person-centered approach that documents the participant's choice to use a PERS, describes how the PERS will help the participant achieve the life he/she desires, and how it will support independence. The ISP shall also document how the PERS will be used in a manner that ensures the participant's rights to privacy, dignity, respect, and freedom from coercion and restraint.

The system may use available technology for a participant to alert someone in case of emergency. This may include fall detection, monitoring of vital signs, a method to request assistance, GPS geofencing, and other features needed for participants' individual needs. The service may include an installation fee or set-up fee, purchase of equipment, and ongoing monitoring of the system.

If a participant has a goal to move from a certified or licensed setting to their own home or family home within six (6) months, a PERS may be authorized. The transition plan to move to a more independent living arrangement must be specified in the ISP. The caregiver or staff at the certified or licensed home will assist the participant with learning how and when to request for assistance through the PERS response center.

Assessment of the need for this service, as well as training in the use of the PERS, is included in the waiver service.

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

This service shall not be used for purchasing, installing and/or monitoring any device or system that could limit the participant's rights to privacy, dignity, respect, and freedom from coercion and restraint. Prohibited systems or devices include Global Positioning System (GPS) tracking, video cameras, or door alarms.

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	Enrolled I/DD Waiver Provider

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:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Agency/vendor must have the infrastructure and a minimum of two years of experience performing this specialized service.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Private Duty Nursing (PDN)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
05 Nursing	05010 private duty 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):*

Private Duty Nursing (PDN) services are defined as services determined medically necessary to support an adult (21 years of age and older) with substantial complex health management support needs. PDN services must be specified in the ISP. PDN services are within the scope of the State's Nurse Practice Act and require the education, continuous assessment, professional judgment, nursing interventions, and skilled nursing tasks of a registered nurse (RN) or licensed practical nurse (LPN) under the supervision of an RN. The RN and LPN are licensed to practice in the State of Hawaii.

PDN services are provided to participants who meet all of the following:
-require continuous but less than 24 hours-per-day nursing care on an ongoing long-term basis;
-have complex health management support needs for their medical condition based on a functional need assessment;
-PDN services have been determined medically necessary if it is recommended by the treating physician or treating licensed health care provider and is approved by DOH/DDD; and
-require a nursing care plan that is incorporated into the Individualized Service Plan, which determines the frequency of review for continued need of this service.

The nurse provides detailed notes of interventions, judgments, and assessments and makes documentation available at the frequency specified in the ISP for the DOH/DDD case manager and, upon request, for review by DOH/DDD and DHS/MQD.

Complex means scheduled, hands-on nursing interventions. Observation in case an intervention is required is not considered complex skilled nursing and is not covered by the Medicaid I/DD Waiver as medically necessary PDN services.

Continuous means nursing assessments requiring interventions are performed at least every two or three hours during the period PDN services are provided.

Substantial means there is a need for interrelated nursing assessments and interventions. Interventions not requiring an assessment or judgment by a licensed nurse are not considered substantial.

PDN services may be provided in the participant's home or at locations in the community.

A participant may be eligible for a short-term increase in authorized hours of PDN service when they meet one of the following significant changes in condition :
- The participant has increased medical support needs that exceed home health nursing provided by the participant's health plan or other insurer. Services will generally start at a higher number of PDN hours and be reduced slowly over the course of the 30 days.
- An acute, temporary change in condition causing increased amount and frequency of nursing interventions.
- A family emergency or temporary inability of the informal caregiver to provide care due to illness or injury.

PDN services are not intended to provide all of the supports a participant requires to live at home.

PDN services must be prior authorized by DOH/DDD.

PDN may be provided at the same time as another waiver service when the participant has been assessed to require 2:1 supports based on the results of a functional needs assessment when the participant a) requires a nurse for health care needs and a second staff performing distinct and separate duties for training in activities of daily living; b) requires a nurse while also attending employment or adult day health activities; or c) requires a nurse while also participating in community learning activities.

All medically necessary private duty nursing for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Private duty nursing in this waiver is only provided to individuals age 21 and over and only when the limits of this waiver service furnished under the approved state plan are exhausted.

PDN services may be provided by a qualified family member who is employed by a waiver provider. "Qualified" means the family member or caregiver must meets the requirements (licensed RN or LPN under the supervision of a RN).

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

PDN services are provided to participants age 21 and older up to a maximum of 10 hours on average per day during the authorization period. If DOH/DDD authorizes a short-term increase above the 10 hours-per-day limit, the authorized increase shall not exceed 60 days.

PDN services must not duplicate services available to a participant under the Medicaid State Plan, any third-party payer, a program funded through section 110 of the Rehabilitation Act of 1973 or section 602 (16) and (17) of the Individuals with Disabilities Education Act (30 U.S.C. 1401 et seq.).

PDN services shall not be used for respite services, companionship, or transportation to medical appointments.

PDN services shall not be authorized when the purpose of having a licensed nurse with the participant is only for observation or monitoring in case an intervention is required.

PDN services shall not be used when the nursing care activities can be delegated to qualified direct support workers.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Private Duty Nursing (PDN)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Licensed Registered Nurse per Chapter 457, HRS
Licensed Practical Nurse per Chapter 457, HRS

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD in order to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA). Follow the Hawaii State Administrative Rules regarding the Hawaii Nurse Practice Act.

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* CPR BLS Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening
* Licensed Practical Nurses (LPN) are supervised by a Registered Nurse (RN)

Provider agency must also assure all nurses providing this service meet mandatory training requirements within three (3) months of hire and annually on an ongoing basis for the following training topics:
1. CMS Home and Community Based Services (HCBS) final rule (79 FR 2947) on community integration overview and implementation
2. Person Centered Planning
3. Positive Behavior Supports, Restrictive Interventions and Prohibited Restrictive Interventions
4. Adverse Event Reporting (AER)
5. Civil Rights
6. HIPAA Privacy and Security

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

Residential Care Supports

HCBS Taxonomy:

Category 1:	Sub-Category 1:
02 Round-the-Clock Services	02023 shared 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):*

Residential Care Supports services are personal care and supportive services (e.g., homemaker, chore, attendant care, companion, medication oversight (to the extent permitted under state law)) provided in a licensed or certified home by a primary caregiver who lives in the home. Residential Care Supports is furnished to adults who receive these services in conjunction with residing in the home.

The total number of individuals (including participants served in the waiver) living in the home, who are unrelated to the primary caregiver, cannot exceed 10, based on the home setting.

Separate payment is not made for chore services furnished to a participant receiving Residential Care Supports services, since these services are integral to and inherent in the provision of Residential Care Supports services in licensed and certified settings. Residential Care Supports is a service, not a setting.

Transportation between the participant’s residence and activities in the community is provided as a component of Residential Care Supports services and the cost of transportation is included in the rate paid.

Personal care and supportive services shall comprise the entirety of the service. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during delivery of the service, as needed.

Provider-owned or leased settings must be compliant with the Americans with Disability (ADA) requirements. These

settings must also provide a home-like environment. Any providers must be in full compliance with the CMS HCBS Settings Final Rule.

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

Residential Care Supports services do not include habilitative training to enable a participant to acquire, retain, and/or improve skills related to living in their home.

Residential Care Supports service is not considered a Residential Habilitation service.

Residential Care Supports rates were built on a 344-day billing year, ensuring providers are fully reimbursed for a full year of service after 344 billing days. As a result, billing is limited to 344 days per individual plan year.

Payment is not made for the cost of room and board or building maintenance, upkeep, or improvement. The method by which the costs of room and board are excluded from payment for Residential Care Supports services is specified in Appendix I-5.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Residential Care Supports

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

If Residential Care Supports service, includes nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.

Certificate *(specify):*

Individual types of homes where services are delivered:
Adult Foster Care Homes (AFH) – Chapter 321.11.2, HRS and Chapter 11-148, HAR

Other Standard *(specify):*

Agency: Meet requirements in DHS/MQD Provider Services Agreement and waiver standards. Be approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure that the home's caregiver maintains a valid and current license or certification, as applicable.

Provider agency must have a mechanism in place to be notified by the caregiver of any change to the status of their license or certificate. Provider agency must visit each home on a monthly basis.

Training requirements are specific to the home's license or certification.
Licensed Homes:
Adult Residential Care Homes (ARCH and E-ARCH) –
The primary caregiver is at a minimum, a nurse aide (NA) with training that includes activities of daily living and medication administration. Each home is monitored by the DOH/Office of Health Care Assurance on an annual basis.

Certified Homes:
Adult Foster Care Homes (AFH) –
AFH caregivers and substitute caregivers must successfully complete the DOH/DDD orientation and training prior to receiving certification. Each home is monitored by the DOH/DDD Certification Unit on an annual basis.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH-DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Specialized Medical Equipment and Supplies (SMES)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	14032 supplies
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):*

Specialized medical equipment and supplies include:
1) devices, controls, appliances, equipment and supplies, specified in the ISP, which enable participants to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live;
2) items necessary for life support or to address physical conditions along with ancillary supplies and equipment necessary to the proper functioning of such items;
3) such other durable and non-durable medical equipment not available under the State Plan that are necessary to address a participant's functional limitations;
4) items that are of direct medical or remedial benefit to the participant and are not experimental
- "direct medical or remedial" benefit is a prescribed specialized treatment and its associated equipment or supply that are essential to the implementation of the ISP and without which the participant would be at high risk of institutional or more restrictive placement
- "experimental" means that the validity of the use of the adaptation and associated equipment has not been supported in one or more studies in a refereed professional journal; and
5) necessary medical supplies not available under the state plan.

There must be documented evidence that the item is the most cost-effective alternative to meet the participant's need. All items shall meet applicable standards of manufacture, design and installation.

All items must be ordered on a prescription. An order is valid one year from the date it was signed.

Nutritional diet supplements are only covered by the waiver if the participant is able to eat by mouth (no feeding tube) and is at risk for weight loss that will adversely impact the participant's health. Prior to authorization, the plan must include a request from a medical provider and measurable weight goals and a follow-up plan.

Additional diapers, pads and gloves over the amount covered by the State Plan may be covered by the waiver only on a temporary or intermittent basis. Temporary is defined as a period of three months or less. Intermittent is defined as occurring at irregular intervals, sporadic, and not continuous.

Assessment and training related to Specialized Medical Equipment and Supplies are completed under another waiver service, Training & Consultation, and are not included in this service.

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

Specialized Medical Equipment and Supplies under the waiver may not replace the medical supplies equipment and appliances covered by other insurances or under the State Plan through the home health benefit, including EPSDT for waiver participants under age 21. All applicable private insurance, Medicare, and/or Medicaid requirements for the procurement of durable medical equipment and supplies must be followed.

This service may not be used to purchase equipment or supplies that would have been covered by another program if the program's rules were followed, including using network providers that participate with that program and adhering to prior authorization requirements of that program.

Specialized Medical Equipment and Supplies exclude those items that are not of direct medical or remedial benefit to the participant or are considered to be experimental.

Eye glasses, hearing aids, and dentures are not covered.

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	Enrolled I/DD Waiver Provider
Agency	Durable Medical Equipment Supplier

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies (SMES)

Provider Category:
Agency

Provider Type:
Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*
Agency: Meet requirements in Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD in order to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Verification of Provider Qualifications

Entity Responsible for Verification:
DOH/DDD

Frequency of Verification:
Prior to, during and after the service delivery

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies (SMES)

Provider Category:
Agency

Provider Type:
Durable Medical Equipment Supplier

Provider Qualifications

License *(specify):*

State of Hawaii Office of Health Care Assurance HRS, Section 321-543

Certificate *(specify):*

Other Standard *(specify):*

Must be licensed to do business in the State of Hawaii and able to enter into contracts with the State.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Prior to, during and after the service delivery

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:

Training and Consultation

HCBS Taxonomy:

Category 1:	Sub-Category 1:
17 Other Services	17990 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):*

Training & Consultation (T&C) services assist participants, families, caregivers, service supervisors, and support staff in implementing the goals and outcomes developed from the person-centered planning process and included in the Individualized Service Plan (ISP). The goals and outcomes are necessary to improve the participant's independence and inclusion in their community. Activities are provided by licensed professionals in psychology, nutrition, occupational therapy, physical therapy, speech and language pathology, behavior analysis, marriage and family therapy, clinical social work, mental health counseling, and nursing.

The service includes evaluation and assessment; the development of recommendations for goals and outcomes; training, counseling and technical assistance to implement the goals and outcomes; participating in team meetings; writing reports; and monitoring of the participant, families, caregivers, and staff in the implementation of the goals and outcomes in the ISP. This service may be delivered in the participant's home, in the community, by telehealth, or in the licensed professional's office or clinic.

Service delivery can be provided via telehealth but must meet all of the following requirements:
1) Providers must follow HIPAA regulations and must use a non-public facing, HIPAA-compliant platform. The state will obtain written assurances from providers that services delivered via telehealth comply with HIPAA. The written assurance will be reviewed by the DOH-DDD compliance officer.
2) Services must be provided in a manner that ensures the participant's rights to privacy and choice including a signed telehealth informed consent that the participant has chosen telehealth as a modality for service delivery. The provider will provide information at the beginning of each telehealth encounter to the participant that the information is kept private and safeguards have been taken. The provider will be in a private location to ensure that others do not overhear the discussion.
3) The following is documented in the participant's person-centered plan:
a) how telehealth will be used to facilitate community integration and support the participant to meet their individual person-centered goals;
b) an assessment of whether telehealth is an appropriate way to deliver the service for the participant and is not used solely for the provider's convenience;
c) if accommodations are needed, how they will be provided including for those who need physical assistance or assistance with use of technology; and
d) how the participant's health and safety will be ensured.
4) The use of telehealth must be documented by the provider in the participant record.
5) The provider record and quarterly reports will document any issues with implementing the person-centered plan through telehealth.
6) Each session will begin with a check for health and safety. If there are health and safety concerns identified during telehealth, the provider will contact appropriate emergency services and submit a report to DOH-DDD if it meets the criteria for an adverse event.

Service delivery via telehealth may not be the only modality of overall waiver service delivery. The participant will have opportunities for community integration through waiver services provided in community settings.

Training & Consultation is time-limited, intermittent, and consultative. The service is not intended to provide direct services beyond the time required for the evaluation and assessment, training, and counseling, observing/monitoring the implementation of the goals, and revising outcomes as appropriate.

T&C is a distinct service that does not duplicate other waiver services or replace the responsibilities of services supervisors. T&C may be delivered concurrently with another waiver service during the time in which the T&C professional provides specialized training, monitoring and coaching to paid staff who implement the participant's plan. The participant must be present when the T&C professional observes and monitors the staff implementing the strategies in the plan.

T&C by a Behavior Analyst may be authorized to provide transitional services while the participant is receiving services in an acute-care hospital. Transitional services may include conducting a Functional Behavioral Assessment (FBA), developing or reevaluating a Behavior Support Plan (BSP), and developing or reevaluating a Safety Plan. The ISP must document that the transitional services provided by the provider are necessary to foster communication, evaluate behaviors, promote behavioral stabilization to support successful transitions back to the community, and maintain functional abilities. These are services in the ISP that cannot be provided by hospital staff and are not a substitute for or duplication of services

the hospital is obligated to provide pursuant to its conditions of participation in Medicare and Medicaid, Federal or State law, or another applicable requirement.

T&C by a Registered Nurse may only be used for nurse delegation for services that do not include nursing as a component of the service: Consumer-Directed Personal Assistance/Habilitation (CD-PAB); Consumer-Directed Community Learning Service-Individual (CD CLS-Ind); Consumer-Directed Respite (CD Respite); Community Navigator; Discovery and Career Planning (DCP); and Individual Employment Supports (IES).

T&C assessments and training for Assistive Technology (AT), Specialized Medical Equipment & Supplies (SMES), Environmental Accessibility Adaptations (EAA), or Vehicle Modifications (VM) must be authorized separately through the ISP and are not bundled. The participant shall be offered a choice of providers and can select a different qualified provider for the assessments and/or training required to obtain the medically necessary AT, SMES, EAA or VM. If the AT, SMES, or EAA assessment is completed by the same provider that delivers the training, they must bill each separately in accordance with the DDD prior authorization.

The T&C professional must have no conflict of interest with any vendor or business that provides the AT, SMES, EAA or VM.

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

For participants under age 21, Training and Consultation may not be delivered if such services have been determined to be medically necessary EPSDT services to be provided through the QUEST Integration health plans. This service does not supplant any service that is the responsibility of the Medicaid State Plan under the QUEST Integration health plans, another agency, or other insurance.

T&C does not provide training in the use of VM.

T&C by an RN is not available for nurse delegation for provider-delivered services that include nursing as a component of the service: Personal Assistance/Habilitation (PAB); Residential Habilitation (ResHab); Respite; Adult Day Health (ADH); Community Learning Service (CLS); and Waiver Emergency Services.

Telehealth will not be used during this service:
a) to treat emergency needs; or
b) when the participant needs the provider of this service to be physically present and/or to provide physical assistance to ensure the participant's health, safety and to meet habilitative needs.

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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Training and Consultation

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

1) Behavior Analyst: Hawaii Revised Statutes (HRS), Section 465D
2) Dietician: HRS Chapter 448B
3) Family Counseling:
a. Licensed Clinical Social Worker: HRS Chapter 467E
b. Licensed Marriage & Family Therapist: HRS Chapter 451J
c. Licensed Mental Health Counselor: HRS Chapter 453D
4) Occupational Therapist: HRS §457G
5) Physical Therapist: HRS Chapter 461J;
6) Psychologist: HRS Chapter 465
7) Registered Nurse: HRS Chapter 457
8) Speech-Language Pathologist: HRS Chapter 468E

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet requirements in Provider Services Agreement and waiver standards Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for employees and independent contractors delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening
* All professionals meet appropriate licensing requirements in accordance with Hawaii Revised Statutes and DCCA

Additional requirements for Environmental Accessibility Adaptation Professional: must be an Occupational Therapist or Physical Therapist and have a minimum of five (5) years completing EAA assessments or possess specialized certification (Certified Aging-In-Place Specialist – CAPS; Executive Certificate in Home Modification – ECHM; or Certified Environmental Access Consultant – CEAC)

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Vehicle Modifications (VM)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	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):*

Adaptations to a family-owned vehicle to accommodate the special needs of the participant. Vehicle adaptations are specified in the ISP as necessary to enable the participant to integrate more fully into the community and to ensure the health, welfare, and safety of the participant.

Vehicle Modifications must be prior authorized by DOH/DDD based on clinical review.

The participant or family must document that the vehicle is owned by the family or participant or, if purchasing new, is pre-qualified for financing the vehicle. The vehicle to be modified must be structurally sound.

The cost for a new vehicle modification conversion system will include the purchase of an extended warranty that covers repairs to the new conversion through the seventh year after purchase.
The participant and family buying the vehicle must purchase an extended warranty for the vehicle as a requirement for authorizing the VM because the conversion warranty can only be purchased with the vehicle extended warranty. Waiver funds shall not be used to pay for repairs to the vehicle.

Repairs to the conversion components of the vehicle including the lift, tie-down, or auto-docking system may be covered with documentation that the repair is the most cost-effective solution when compared with replacement or purchase of a new modification. The ISP must document that the repair will ensure that the vehicle modification continues to be the most cost-effective, safe, and appropriate way to meet the participant’s accessibility needs. All applicable warranty and insurance coverage must be sought and denied before paying for repairs.

A functional assessment that evaluates the impact of the provision of appropriate vehicle modifications to the participant and their customary transportation needs must be completed by a clinician working within the scope of their license. Training in the use of the Vehicle Modification upon delivery is included in this service.

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

Modifications for a new conversion system are limited to one request every seven (7) years at a maximum cost of $70,000, inclusive of any shipping costs. An exception review is available for circumstances where the lowest bid for the vehicle modification, inclusive of any applicable shipping costs, exceeds the limit. The seven (7) years is counted from the date of delivery of the previous new vehicular modification for a conversion system.

The cost of the VM may include the cost for shipping to and from another state for a vehicle purchased or owned in Hawaii with documentation that the modification cannot be completed within the state. If purchasing a new vehicle, the participant and family must consider purchasing the vehicle on the mainland so only one-way shipping is needed. One-way shipping costs will be separated and the waiver funds are only permitted for the portion of costs attributed to the conversion portion of the total shipping costs. Shipping costs for the vehicle portion are the responsibility of the participant and family. One-way shipping will be authorized unless the participant and family present documentation why the vehicle could not be purchased on the mainland and requires two-way shipping.

All vehicles considered for modification must be less than five (5) years old, have less than 50,000 miles, and have no reported accidents that damaged the frame or flood damage. All vehicles must be inspected prior to shipment to the mainland for modifications.

If the participant and family have not purchased a new conversion with waiver funds within the past seven years, the vehicle's ramp or lift system and/or wheelchair tie-down or docking system may be repaired one time within seven years at a maximum total cost of $10,000.

A functional assessment that evaluates the impact of the provision of appropriate vehicle modifications to the participant and their customary transportation needs is not included in this service. This may be provided through Training and Consultation (T&C) or by a clinician working within the scope of their license.

The following are specifically excluded:
1) adaptations or improvements to the vehicle that are of general utility and are not of direct medical or remedial benefit to the individual;
2) purchase or lease of a vehicle;
3) regularly scheduled upkeep and maintenance of a vehicle except upkeep and maintenance of the modification; and
4) modifications that are for the convenience of the caregiver/driver and are not used by the 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	Vendor
Agency	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Vehicle Modifications (VM)

Provider Category:

Agency

Provider Type:

Vendor

Provider Qualifications

License *(specify):*

Must be licensed to do business in the State of Hawaii.

Certificate *(specify):*

Other Standard *(specify):*

Vendor with a minimum of two years of experience performing vehicle modifications
1) Meet applicable State licensure, registration, and certification requirements (be authorized by the manufacturer to sell, install, and/or repair equipment); and
2) Ensure that all items meet applicable standards for manufacture, design, and installation.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Prior to and completion of service delivery

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Vehicle Modifications (VM)

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Agency: Meet requirements in Provider Services Agreement and waiver standards Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

Prior to and completion of service delivery

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:

Waiver Emergency Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
10 Other Mental Health and Behavioral Services	10090 other mental health and behavioral 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):*

Waiver Emergency Services: Crisis Mobile Outreach or CMO covers the initial telephone call requesting outreach and immediate on-site crisis support for situations in which the individual’s presence in their home or program is at risk due to the display of challenging behaviors that occur with intensity, duration, and frequency, that endangers the safety to self or others or that results in the destruction of property. The outreach service must be face-to-face with the participant for a portion of the time of the visit based on participant's needs. Outreach is available to waiver participants of any age.

Waiver Emergency Services: Out-of-Home Stabilization or OHS cover emergency out-of-home placement of individuals in need of intensive intervention to avoid institutionalization or more restrictive placement and to return to the current or a new living situation once stable. Nursing is included as part of this service for the purpose of developing, overseeing, training, and documenting plans for nurse delegated tasks performed during delivery of the service, as needed. Waiver Emergency Services: OHS shall include discharge planning at the point of admission.

Out-of-Home Stabilization is focused on services for adults.

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

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

- ☐ **Participant-directed as specified in Appendix E**
- ☒ **Provider managed**
- ☐ **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	Enrolled I/DD Waiver Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Waiver Emergency Services

Provider Category:

Agency

Provider Type:

Enrolled I/DD Waiver Provider

Provider Qualifications

License *(specify):*

If Waiver Emergency Services include nurse delegated activities, oversight is required by a Licensed Registered Nurse per Chapter 457, HRS.
Home where Out-of-Home Stabilization is delivered: Therapeutic Living Program (TLP) - Hawaii Revised Statutes Section 321-16.6 and currently regulated under the administrative rules for Special Treatment Facilities (STP) - Hawaii Administrative Rules 11-98

Certificate *(specify):*

Registered Behavior Technician (RBT) who is credentialed by the Behavior Analyst Certification Board (HRS §465D-7)

Other Standard *(specify):*

Agency: Meet requirements in Provider Services Agreement and waiver standards. Approved by DOH/DDD and DHS/MQD to provide the waiver service and adhere to staffing qualifications in terms of training, education and certification/licensure stated in waiver standards. Be a registered business in the State of Hawaii through the Department of Commerce and Consumer Affairs (DCCA).

Provider agency must assure the following prior to hire and ongoing in accordance with Waiver Provider Standards for individual workers delivering this service:
* Minimum age of 18 years
* Able to work in the United States
* TB clearance
* First Aid & CPR Training
* Criminal history check
* Adult Protective Services and Child Welfare Service registry screening

Crisis Worker: Must have a high school diploma or equivalent and at least one (1) years of experience working with people with I/DD and/or people experiencing behavioral crisis. Provider agency must assure all crisis workers receive Specialized Training as specified in waiver standards, including:

1. Prior to providing services, all staff must receive at least twenty-four (24) hours of orientation training which covers the following topics: crisis assessment and intervention, suicidal assessment, homicidal assessment, clinical protocol, proper documentation, and knowledge of community resources.

2. The provider must provide documented training on a quarterly basis, to expand knowledge base and skills relative to crisis intervention treatment protocols as guided by the provider's training curriculum, and I/DD-specific situations experienced by crisis telephone stabilization workers. Training must promote evidence-based services and best practice procedures for urgent and emergent care situations.

3. Training for staff must include but not be limited to the following topics:
*Person Centered Planning;
*Home and Community-Based Services Final Rule for Community Integration;
*Familiarity with DOH-DDD and mental health service array and other community resources and services to provide guidance and referrals to callers;
*Risk Assessment including suicide, homicide, and any other risk of harm to self or others;
*Screening, assessment, and intervention/treatment planning;
*Positive behavioral support;
*Functional behavioral assessment and behavioral support plan functions and processes;
*Behavioral crisis intervention system (Safety Care, Crisis Prevention Institute (CPI), the Mandt system);
*Dual diagnosis (I/DD and mental health);
*A familiarity with psychotropic medications, classifications and side effects;
*Trauma informed care;
*De-escalation techniques; and
*Cultural and diversity awareness and sensitivity.

Verification of Provider Qualifications

Entity Responsible for Verification:

DOH/DDD

Frequency of Verification:

DOH/DDD staff review all providers annually. Staff may conduct announced and unannounced reviews at any time.

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:

State Department of Health, Developmental Disabilities Division Case Managers conduct case management functions on behalf of waiver participants.

Case Managers receive training on the DDD policy and procedure, titled "Home and Community Based Services Rights Modifications" (P&P #2.06). The training covers an overview of the HCBS settings regulation including participant rights and the requirement to align the person-centered planning requirements with the HCBS settings regulation.

This training ensures that any time a participant in the State of Hawaii may have a health or safety need that requires consideration of a modification of certain rights or freedoms in HCBS settings, the ISP team shall ensure that such modifications are designed, implemented, and documented in a manner that minimizes the restrictions to rights and freedoms and seeks to maximize the development of alternatives.

In addition, all case managers must attend an annual training on the Individualized Service Plan process, which covers the HCBS settings rule core requirements and person-centered planning principles.

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.

Service
Discovery & Career Planning (DCP)
Individual Employment Supports (IES)
Community Navigator (CN)
Training and Consultation

1. Will any in-person visits be required?

◉ **Yes.**
○ **No.**

2. *By checking each box below, the state assures that it will address the following when delivering the service remotely/via telehealth.*

☒ **The remote service will be delivered in a way that respects privacy of the individual especially in instances of toileting, dressing, etc.** ***Explain:***

The remote service will be delivered in a way that respects the privacy of the individual, especially in instances of toileting, dressing, etc. When providing telehealth services, steps will be taken to ensure the individual's privacy. For example, when assisting someone with dressing via telehealth, the camera will be positioned to focus on the face and upper body, avoiding sensitive areas. If a caregiver needs to be present during a telehealth session, their presence will be discussed and agreed upon beforehand.

☒ **How the telehealth service delivery will facilitate community integration.** ***Explain:***

Telehealth will be used to support community integration by enabling individuals to participate in community activities and access services from their own homes or community settings. For example, telehealth for Community Navigator will be provided in a community setting (e.g. library or park) to enable the individual to interact with others and participate in community activities. This allows individuals to engage with their community without requiring transportation or in-person staff presence for every interaction.

☒ **How the telehealth will ensure the successful delivery of services for individuals who need hands on assistance/physical assistance, including whether the service can be rendered without someone who is physically present or is separated from the individual.** ***Explain:***

For individuals who need hands-on assistance, telehealth will primarily be used in conjunction with in-person support. If in-person support is not possible, telehealth can still be used to provide services but with additional safeguards. This may include providing clear instructions, using visual aids, or having a caregiver present during the telehealth session. For example, when providing telehealth for Training and Consultation services, the provider will provide clear instructions to the caregiver or a Personal Assistance/Habilitation (PAB) worker on how to perform the tasks such as practicing how to most effectively support the participant.

☒ **How the state will support individuals who need assistance with using the technology required for telehealth delivery of the service.** ***Explain:***

The service providers, who opt to utilize telehealth, will provide training and technical assistance to individuals and caregivers for support with the technology used for telehealth. This may include training on using the equipment and troubleshooting common issues. The support will be tailored to the individual's and caregiver's needs and preferences.

☒ **How the telehealth will ensure the health and safety of an individual.** ***Explain:***

Telehealth services will be delivered in a way that prioritizes the individual's health and safety. This may involve providing emergency response protocols and ensuring a caregiver is present during the session if needed. Additionally, telehealth services will only be used when it is safe and appropriate for the individual and documented in the Individualized Support Plan.

Appendix C: Participant Services

C-2: General Service Specifications (1 of 3)

a. Criminal History and/or Background Investigations. Specify the state's policies concerning the conduct of criminal history and/or background investigations of individuals who provide waiver services (select one):

○ **No. Criminal history and/or background investigations are not required.**

◉ **Yes. Criminal history and/or background investigations are required.**

Specify: (a) the types of positions (e.g., personal assistants, attendants) for which such investigations must be conducted; (b) the scope of such investigations (e.g., state, national); and, (c) the process for ensuring that mandatory investigations have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid or the operating agency (if applicable):

a) In accordance with Sections 321-15.2, 346-97 and 846-2.7 of the Hawaii Revised Statutes (HRS), all waiver provider staff and residential home caregivers who have direct patient access are subject to criminal background checks. This includes service supervisors (SS) and direct support workers (DSW) employed through an agency or individual providers (independent contractors), as well as Residential Habilitation (ResHab) caregivers and others living in the home where waiver participants reside.
b) State and federal background checks are completed.
c) Provider agencies must obtain background checks from the Criminal History Data Center (CHDC) which is part of the State's Department of the Attorney General. The background check must be stamped "certified". The CHDC performs a screen match of the providers' fingerprints and name against both the FBI and State of Hawaii database for criminal activity. The provider must obtain the CHDC check before the employee is allowed to provide services to DD/ID waiver participants or within five (5) calendar days of initial hire and then within 12 months of initial CHDC check. The provider performs the name checks bi-annually thereafter. If the background check returns a finding of "disqualifying information" the individual has a conviction for a relevant crime or a finding of patient or resident abuse.

Relevant crimes include: (1) Any offense described in 42 United States Code §1320a-7 (section 1128(a) of the Social Security Act); or
(2) A crime of such a serious nature or circumstance that the department finds its perpetrator to pose a risk to the health, safety, or well-being of a patient or resident. This includes but is not limited to murder, manslaughter, assault, sex offenses, domestic violence, theft or forgery, arson, kidnapping, or possession, use, sale, manufacture, or distribution of dangerous drugs or controlled substances.
Based on that finding, the individual is prohibited from working with waiver participants in any capacity.

DOH/DDD monitors to ensure compliance by checking employee records to verify that background checks have been completed. Quarterly provider reports on the status of clearances are sent to DHS/MQD by the DOH/DDD. Clearances are required initially, annually for the first year of employment, and every other year thereafter (see table attached). If the worker has not received initial clearance, the worker cannot provide waiver services. If DOH/DDD finds the agency in non-compliance, DOH/DDD requires the agency to obtain required checks within a specified time limit. If the agency refuses to comply, DOH/DDD will coordinate with DHS/MQD to suspend or terminate the agency.

DHS/MQD and Department of Health, Office of Health Care Assurance (DOH/OHCA) have contracted with a state approved vendor to maintain the Hawaii Background Check System (HI BCS).

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) DHS/MQD and other state agencies use the Hawaii Background Check System (HI BCS) which is a central internet-based method to conduct background checks and to review the status of current or past background check requests.
b) In accordance with Section 346-335 of the Hawaii Revised Statutes (HRS), all waiver staff and caregivers with direct patient access are required to undergo search of the individuals name in the Adult Protective Services (APS) and Child Abuse & Neglect (CAN) registries for confirmed abuse or neglect. This includes all service supervisors (SS) and direct support workers (DSW) employed through an agency, as well as ResHab caregivers.
c) Provider agencies complete Adult Protective Services (APS)/Child Abuse & Neglect (CAN) background checks and fingerprinting as specified in the provider agreements.
d) DOH/DDD CM works with the provider agency to identify staffing for continuity of care. The provider agency is responsible for ensuring that the participant continues to receive services by a different worker. The provider agency is required to give DOH/DDD thirty (30) days notice if unable to provide services. DOH/DDD may request additional time from the provider beyond the thirty (30) days to ensure a smooth transition of participant to another provider or other service.

DOH/DDD staff monitors and checks agency records annually to ensure that mandatory screenings have been conducted. DOH/DDD submits quarterly reports to DHS/MQD for review.

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.*

◉ **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.

Services provided are authorized based on person centered planning. The services are identified before the provider is selected.

Parents and legal guardians (if applicable) of minor children are not paid to provide services.

Relatives or family members who may provide waiver services to minor participants are defined as natural or hanai (Hawaiian tradition of taking in and caring for an individual without going through formal adoption procedures) brother, sister, aunt, uncle, cousin, grandfather or grandmother.

Spouses of participants are not paid to provide services.

Relatives or family members who may provide waiver services to adult participants are defined as natural, adoptive, step, in-law, or hanai father, mother, brother, or sister, son or daughter, and grandfather or grandmother. Guidelines for authorizing waiver services which may be provided by a family member include:
1) the family member is unable to provide the service(s) without reimbursement; and
2) the family member is the most qualified provider; or
3) the family member is the only available provider of care.

Relatives/legal guardians employed through provider agencies or relatives employed through the consumer directed model are subject to the same monitoring and supervision requirements as non-relatives/non-legal guardians.

Under the consumer directed model, a legal guardian for a participant may not hire himself or herself to provide the services for which he or she serves as the designated representative.

○ **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:

Providers are enrolled on an ongoing basis. There are no enrollment period restrictions. Prospective provider applicants may access information on the DDD website at: https://health.hawaii.gov/ddd/waiver-providers/prospective-medicaid-idd-waiver-provider/, which also has a link to the Waiver Standards. If prospective providers are interested in applying, they may call or email DDD to request the application and ask questions. The application packets includes information on provider requirements and the application process.

Applicants that are determined to not be qualified to enroll are required to wait six (6) months and receive provider training prior to re-submitting an application.

All providers may be authorized to deliver one or more waiver services based on their ability to meet provider qualifications.

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.**

a) Personal Assistance/Habilitation (PAB) and Training & Consultation (T&C) by licensed behavioral analyst can be provided in an acute-care hospital. These are services in the ISP that cannot be provided by hospital staff and are not a substitute or duplication of services the hospital is obligated to provide pursuant to its conditions of participation in Medicare and Medicaid, Federal or State law, or another applicable requirement.

b) Personal Assistance/Habilitation (PAB) may be authorized to provide supports while the participant is receiving services in an acute-care hospital. The ISP must document that the supports provided by the provider are necessary to foster communication, provide intensive personal care and/or promote behavioral stabilization to support successful transitions back to the community, and maintain their functional abilities.

Training & Consultation (T&C) by licensed and/or certified behavioral analyst may be authorized to provide transitional services while the participant is receiving services in an acute-care hospital. Transitional services may include conducting a Functional Behavioral Assessment (FBA), developing or reevaluating a Behavior Support Plan (BSP), and developing or reevaluating a Safety Plan. The ISP must document that the transitional services provided by the provider are necessary to foster communication, evaluate behaviors, promote behavioral stabilization to support successful transitions back to the community, and maintain their functional abilities.

c) There is no difference in billing codes and rates for these services provided in an acute-care hospital.

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:
#/% of licensed/certified workers who initially/continually pass criminal history/abuse registry checks, meet license/certificate and other standards before furnishing waiver svcs N:# licensed/certified workers who initially/continually pass criminal history/abuse registry checks, meet license/certificate and other standards before furnishing waiver svcs D:Total # of licensed/certified workers

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

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

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

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

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

Performance Measure:
#/% of consumer directed providers that meet waiver requirements on an ongoing basis N: # of consumer directed providers that meet waiver requirements on an ongoing basis D: Total # of consumer directed providers in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval =

		95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:

#/% of new non-licensed/non-certified agency workers that passed criminal history record and abuse registry checks and met other standards prior to service delivery N: # of new non-licensed/non-certified agency workers that passed criminal history record and abuse registry checks, and met other standards prior to service delivery D: Total # of new non-licensed/non-certified agency workers

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% of non-licensed/non-certified agency workers that passed the criminal history record and abuse registry checks and met other standards on an ongoing basis N: # of non-licensed/non-certified agency workers that passed the criminal history record and abuse registry checks and met other standards on an ongoing basis D: Total # of non-licensed/non-certified agency workers in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval =

		95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:

#/% of new consumer directed providers that meet waiver requirements N: # of new consumer directed providers that meet waiver requirements prior to employment D: Total # of new consumer directed providers in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
#/% of provider agencies that initially and continually meet state requirements for service delivery N: # of provider agencies that initially and continually meet state requirements for service delivery D: Total # of provider agencies

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

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

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

Data Aggregation and Analysis:

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

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:
#/% of all new agency workers providing waiver services that completed the training requirements in accordance with state requirements and the approved waiver N: # of new agency workers providing waiver services that completed the training requirements in accordance with state requirements and the approved waiver D: Total # of new agency workers providing waiver services

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% of all agency workers providing waiver services that complete training requirements in accordance with state requirements and the approved waiver on an ongoing basis N: # of agency workers providing waiver services that complete ongoing training requirements in accordance with state requirements and the approved waiver D: Total # of agency workers providing waiver services in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval =

		95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:

#/% of all consumer directed providers that completed the training requirements in accordance with state requirements and the approved waiver N: # of consumer directed providers that completed the training requirements in accordance with state requirements and the approved waiver D: Total # of consumer directed providers in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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.

DOH/DDD performs continuous monitoring and focused annual reviews of all providers to verify that they meet waiver requirements. If a provider is non-compliant with waiver requirements identified in the annual review, DOH/DDD issues a findings report. The provider agency is expected to provide specific improvements that will be implemented. DOH/DDD reviews the appropriateness of actions proposed and provides feedback as necessary. DOH/DDD, through review of adverse event reporting, mortality reviews, complaints and issues identified by DOH/DDD case managers or other staff, identifies problems that need to be addressed. Depending on the seriousness of the issue, DOH/DDD will issue a call for corrective action(s) that may include a requirement to conduct an internal investigation and/or analysis, review the provider's proposed corrective action plan and make a determination whether the plan is approved or requires revisions prior to being approved. For consumer directed, DOH/DDD provides training and support to the consumer directed employer to assist with correcting identified issues.

Based on the issue, DOH/DDD may ask for regular reporting on implementation of the corrective action plan. Technical assistance is offered as needed. DOH/DDD may also, in consultation with DHS/MQD, issue appropriate sanctions to the provider for the period of non-compliance e.g., recoupment of billed services, suspension of services, or termination. All measures are documented in letters to providers. DOH/DDD tracks submittal of corrective actions and responses to ensure timeliness. Results of the annual reviews are submitted to DHS/MQD quarterly. DHS/MQD accompanies DOH/DDD on a sample of provider reviews.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

◉ **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.

Hawaii's initiative to transform system practices is called Possibilities Now! It reflects the core values of personal choice, community inclusion, and control and responsibility over the person's services. With the introduction of Individual Supports Budgets, Participants receive a prospective budget that reflect their needs, and are empowered to make decisions about how to use their budget to access the supports that best meet their unique circumstances.

A participant's Individual Supports Budget is determined by their assessed needs and type of living arrangement. There are three types of living arrangements:
1) living in a licensed or certified setting
2) living in a family setting
3) living in own home

Participants are assigned to one of seven support 'levels' based on the Supports Intensity Scale for Adults (SIS-A®). The SIS-A® 2nd Edition was developed by the American Association on Intellectual and Developmental Disabilities (AAIDD) to objectively measures individual support needs. It is a valid and reliable instrument for assessing the level of an individual's support needs in major domains of daily living. Additionally, DOH/DDD has adopted a series of supplemental questions to identify extraordinary behavioral and medical support needs. Brief descriptions of the seven levels are:
-Level 1: Low general support need, no extra medical or behavioral needs
-Level 2: Moderate general support need, no extraordinary medical or behavioral needs
-Level 3: Moderate general support need with moderate behavioral needs
-Level 4: High general support need, no extraordinary medical or behavioral needs
-Level 5: Very high general support need, no extraordinary medical or behavioral needs
-Level 6: Extraordinary medical support need
-Level 7: Extraordinary behavioral support need

The principles of the system are:
-Supportive: Allocate Supports Budgets so that participants get what they need in the most independent and integrated manner
-Person-Centered: Empower participants to make decisions regarding the types of supports that best reflect their strengths, needs, and interests
-Equity: Participants with similar needs receive the same allocation in Supports Budgets
-Data-Driven: Supports Budgets are based on historical service utilization

Children under age 18 years are not subject to the Supports Budget. Services for children continue to be determined through the ISP using the current process for authorizing services.

(a) The following services are subject to the Individual Supports Budget:
-Adult Day Health
-Community Learning Service – Group
-Community Learning Service - Individual
-Personal Assistance/Habilitation (not applicable for participants in licensed or certified settings)
-Personal Care Assistance (not applicable for participants in licensed or certified settings)
-Chore (not applicable for participants in licensed or certified settings)
-Respite (only applicable for participants living in a family home)

All other services may be authorized in addition to the limit established by a participant's Individual Supports Budget subject to determination of service necessity, applicable service limits, and authorization requirements.

Annual Individual Supports Budgets reflect a range within which most participants' authorizations are anticipated to fall, with the top of the range representing the applicable budget limits. These ranges are specified below. The different Individual Supports Budget ranges for participants on all other islands account for rate differentials (that is, the higher Individual Supports Budget limits on all other islands ensure that these participants can access an equivalent amount of service as participants on Oahu).

LIVING IN LICENSED OR CERTIFIED SETTING
Level 1: $26,430 - $35,240 on Oahu / $30,563 - $40,750 on all other islands

Level 2: $28,115 - $37,486 on Oahu / $32,493 - $43,324 on all other islands
Level 3: $35,064 - $46,752 on Oahu / $40,272 - $53,696 on all other islands
Level 4: $35,064 - $46,752 on Oahu / $40,272 - $53,696 on all other islands
Level 5: $40,031 - $53,374 on Oahu / $45,734 - $60,978 on all other islands
Level 6: $41,384 - $55,178 on Oahu / $47,090 - $62,786 on all other islands
Level 7: $42,624 - $56,832 on Oahu / $48,663 - $64,884 on all other islands

LIVING IN A FAMILY SETTING
Level 1: $51,058 - $68,078 on Oahu / $57,792 - $77,056 on all other islands
Level 2: $69,093 - $92,123 on Oahu / $78,394 - $104,525 on all other islands
Level 3: $83,375 - $111,167 on Oahu / $94,450 - $125,933 on all other islands
Level 4: $92,480 - $123,307 on Oahu / $104,890 - $139,853 on all other islands
Level 5: $123,949 - $165,265 on Oahu / $140,546 - $187,395 on all other islands
Level 6: $144,469 - $192,626 on Oahu / $162,655 - $216,874 on all other islands
Level 7: $145,513 - $194,018 on Oahu / $164,368 - $219,158 on all other islands

LIVING IN OWN HOME
Level 1: $56,799 - $75,732 on Oahu / $65,921 - $87,894 on all other islands
Level 2: $71,231 - $94,974 on Oahu / $82,467 - $109,956 on all other islands
Level 3: $82,920 - $110,560 on Oahu / $95,832 - $127,776 on all other islands

Participants living in their own home and assigned to Levels 4 through 7 will receive an individualized review to determine their Individual Supports Budget.

(b) The Individual Supports Budget limits were established based on analyses of historical utilization patterns as well as a validation study to test Support Budgets and confirm service mixes based on case file reviews.

DOH/DDD first considered current utilization patterns based on participants' assessed needs and residential placements. DOH/DDD began administration of the SIS-A™ in state fiscal year 2016. Assessments were administered to 565 participants ages 18 years and older selected as part of a stratified random sample. Assisted by consultants from the Human Services Research Institute (HSRI) and Burns & Associates, Inc. (B&A) DOH/DDD adopted a seven-level system that groups together individuals with comparable needs.

Paid claims for state fiscal year 2016 were compiled for participants in the sample. Based on this analysis of current utilization, DOH/DDD constructed model service mixes that reflect the amount of supports used by the large majority of participants in each assessment level and residential placement.

In September 2017, a validation study was conducted by a team of DDD and MQD staff, HSRI, a family member/ Hawaii State Council on Developmental Disabilities (DD Council) board member, and a representative from the state's University Center for Excellence in Developmental Disabilities (UCEDD) and a DD Council staff member. The purpose of the validation study was to determine whether the Supports Budget to which individual participants would be assigned based on their assessed needs and residential placement were reflective of their needs. The validation sample consisted of 102 cases. The result of the validation process determined that the proposed service packages to be adequate or more than adequate for 90% of the cases reviewed. Based on the results of the validation study, DOH/DDD made minor adjustments to several of the Individual Supports Budgets.

(c) DOH/DDD, with assistance from HRSI and B&A, will continue to analyze service authorization and service utilization data as the expanded service array and new fee schedule are implemented. If trends depart substantially from historical patterns, DOH/DDD will consider adjustments to the Individual Supports Budget amounts. In addition, DOH/DDD will collect and analyze data related to requests for exceptions to identify any trends that suggest the need for adjustments to the Individual Supports Budgets. Where data demonstrates the need to adjust the Individual Supports Budgets, an amendment will be submitted to CMS prior to implementation.

(d) It is recognized that while participants who are grouped in a certain level have similar support needs, each person is unique. Therefore, some participants may require supports beyond those permitted by their Individual

Supports Budget. Requests for adjustments or exceptions to the limits must be reviewed by DOH/DDD. Modifications may be made:
-for reasons of health and safety,
-to permit additional time to make support adjustments (such as the development of natural/community supports) for those who are current waiver participants, or
-to provide increased services to ensure successful transition into less restricted settings, which over time will require a less intense level of support.

DOH/DDD reviews requests on a case-by-case basis where the case manager identifies a concern that the Individual Supports Budget is insufficient to meet the participant's needs. During the review process, services will not be reduced. All participants are informed of the right to a Medicaid fair hearing if the exception request is denied. The case manager will work with the participant to explore other available community resources.

Participants and their families will be notified by the case manager of the Individual Supports Budget based on the participant's level of support need and type of living arrangement. This information will be provided prior to the ISP meeting.

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

Requirements for in-state and out-of-state provision of services:

a) all waiver services, except for Personal Assistance/Habilitation (PAB) and Community Learning Service (CLS), must be provided in-state only. PAB and CLS can be provided out-of-state within the United States. No waiver services shall be provided out of the country; Waiver funds are not used for any travel-related costs for the worker.

b) based on historical utilization patterns, a typical request for vacation out-of-state is 10 to 14 days annually. The 14-day limit for out-of-state vacations has been in effect for a number of years. An exception process exists if an emergency situation were to arise during the participant's travel;
i) an updated ISP action plan identifying the travel out-of-state shall be completed and signed by the participant or guardian (if applicable), waiver provider, and DOH/DDD case manager. The participant or guardian has identified a back-up plan for assuring the PAB/CLS staff hours per week do not exceed what is assessed in the current ISP action plan. Except for unforeseeable emergency situations, the participant or guardian uses the back-up plan to ensure that the participant's needs can be met within the authorized days and hours;
ii) the participant's PAB/CLS worker accompanies the participant and provides the service. The DOH/DDD does not pay for any of the travel costs or accommodations for the participant and the PAB/CLS worker;

c) unless the DOH/DDD identifies situations that require changes to the limit, the DOH/DDD does not anticipate adjusting the limit;

d) for any emergency situation in order to safeguard the health and welfare of the participant, the DOH/DDD administration shall assess the need for an increase in PAB/CLS services on a case-by-case basis. Participants who may require medical treatment out-of-state shall be referred to the QUEST Integration Medicaid Health Plans;

e) participants and their family or guardians (if applicable) are able to contact their case managers to explain unusual or unexpected situations that require authorization of out-of-state services. As noted in (d), services may be authorized above the limit by certain individuals within the organization; and

f) participants are notified that all services, except for PAB and CLS, must be provided in-state when they are accepted into the waiver program. The providers are aware of the requirement as it is written in the Medicaid Waiver Standards.

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 recieved. *(Specify and describe the types of settings in which waiver services are received.)*

Hawaii DOH/DDD attests that all waiver settings are compliant with the HCBS Settings requirements at 42 CFR 441.301(c)(4)-(5). Participants select settings for service delivery during the person-centered planning process, and these choices are documented in the Individualized Service Plan.

Waiver services are delivered in three types of settings:
- Provider-controlled residential homes that are certified or licensed (e.g. adult foster homes, adult residential care homes, extended adult residential care homes, developmental disability domiciliary homes)
- Non-residential provider-controlled group settings (e.g. adult day health centers)
- The broader natural community, including private homes that are not provider-controlled (e.g. individual employment services, discovery and career planning, community learning services, personal assistance/habilitation, training and consultation)

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.)*

DOH/DDD uses a variety of tools to review and monitor ongoing compliance for all settings where waiver services are provided, with a particular focus on provider-owned or controlled settings for both residential and non-residential services. Prior to the Settings Rule transition deadline, DOH/DDD completed compliance validation and remediation activities with 100% of the service settings, including collection of evidence, technical assistance to complete plans of correction, follow up with providers and on-site visits to ensure full compliance.

Current and planned (effective July 1, 2026) tools to review and monitor waiver compliance include:
- Waiver provider application process, including on-site compliance reviews. All new settings (or settings newly under contract with a different waiver provider) are visited by DOH/DDD staff and reviewed for compliance prior to service delivery.
- Provider compliance monitoring process that is conducted by DOH/DDD staff at least every three years for all waiver providers; annually for providers requiring corrective action plans. Monitoring includes an assessment tool with indicators to consider provider compliance with requirements through file reviews and administrative data as well as individual participant experience with the HCBS Settings rule. Additionally, for Adult Foster Homes, annual on-site certification visits conducted by state certifiers include review on HCBS Settings compliance requirements.
- Service plan development and review process that is conducted at least annually, including case management oversight of service delivery and participant perspectives. Any modification to §441.301(c)(4)(vi)(A) through (D), are supported by a specific assessed need, justified in the person-centered service plan, approved by case management, and participant/representative informed consent has been provided.
- Ongoing validation of compliance through participant experience surveys.
- Compliant investigations conducted on an ongoing basis, including complaints from participants or family members regarding HCBS Settings compliance.

For providers who do not demonstrate full compliance with federal or state requirements, DOH/DDD provides additional technical assistance and training. Should non-compliance continue after state assistance, DOH/DDD will issue citations starting with corrective actions up to and including provider sanctions.

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:

Individualized 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 meet the qualifications of either social worker, human services professional, or registered nurse licensed to practice in the state.

Social Workers (SW) are those with a Master's in Social Work (MSW) or a Bachelor's in Social Work (BSW) from a program of study accredited by the Council on Social Work Education, or a doctorate degree in social work from a college or university accredited by the Western Association of Schools and Colleges, or a comparable regional accreditation body. A SW with a bachelor's degree must have at least one (1) year of progressively responsible professional work experience in a social/human/health service type of setting.

The minimum qualification requirement for Human Service Professional (HSP) is graduation from an accredited four (4) year college or university with a bachelor's degree which included a minimum of 12 semester credit hours in courses such as counseling, criminal justice, human services, psychology, social work, social welfare, sociology or other behavioral sciences. The HSP must have at least 1.5 years of progressively responsible professional work experience in a social/human/health service type of setting.

SW, HSP and RN case managers are also trained in the DOH/DDD policies and procedures as related to service plan development. An annual training on the Individualized Service Plan process and core requirements of the HCBS settings regulation is mandatory for all case managers. The training incorporates person-centered planning principles such as supported decision making, focus on preferences of the individual, preservation of rights, dignity and respect, and involvement of the individual in the planning process.

☐ **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) The person-centered planning process is driven by the participant who is the center of the planning process. Hawaii Revised Statutes (HRS) chapter 333F governing services for people with developmental disabilities and/or intellectual disabilities provides the statutory mandates for person-centered planning and self-determination. HRS § 333F-1 defines the individualized service plan (ISP) as the “written plan required by HRS § 333F-6 that is developed by the individual, with the input of family, friends, and other persons identified by the individual as being important to the planning process.” The person- centered process provides necessary information and support to the participant to ensure that the individual directs and facilitates the process to the maximum extent possible.

b) Participants receive information regarding person-centered planning in both written and verbal formats. Family members receive “A Guide to Person-Centered Planning” brochure that includes self-determination principles.

A Case Management Branch (CMB) brochure outlines the supports and services funded by Department of Health, Developmental Disabilities Division (DOH/DDD). Participants also receive the “Home and Community-Based Services (HCBS) for Persons with Developmental Disabilities Medicaid Waiver Program” brochure, which provides information on eligibility and services offered under the HCBS waiver.

Appendix D: Participant-Centered Planning and Service Delivery

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) The ISP is the written plan required by HRS § 333F-6. The DOH/DDD case manager assists the participant to develop the ISP, with the input of the circle of support, family, friends, and other persons chosen by the participant as being important to the planning process. The “circle of supports” may include parents, guardians (if applicable), siblings, friends, paid and unpaid supports, service provider(s) and the DHS QUEST Integration (QI) service coordinator. An ISP is initiated after eligibility for services is determined by the DOH/DDD. The ISP is reviewed/updated prior to being admitted into the waiver, and annually thereafter. The actual ISP meeting shall occur at times and locations of convenience to the participant. Prior to the ISP meeting the DOH/DDD case manager contacts the participant and/or guardian to ask them about their available time and location preferences.

b) Assessment information is gathered by qualified DOH/DDD staff and the participant directly through interviews and observation either in-person or by telehealth, as chosen by the participant and/or guardian based on the participant’s individual circumstances and preferences. Information is also obtained from persons who know the participant well, such as family members, guardians (if applicable), friends, residential providers, service providers and health professionals.
Types of assessments used by the DOH/DDD case managers include:

i) a service planning assessment, e.g. the Inventory for Client and Agency Planning (ICAP) or the Supports Intensity Scale for Adults (SIS-A) conducted by qualified DOH/DDD staff identifies the participant’s areas of support needs, relative strengths and challenges, as well as medical and/or behavioral concerns.

The Supports Intensity Scale for Adults (SIS-A™) assessment is completed for participants age 18 and older every three (3) years. It is used to inform ISPs about the level of support needs identified through the SIS-A™. The SIS-A™ identifies and measures the support needs that participants require in order to help them be successful in community settings, as well as exceptional medical and behavioral support needs.

Participants age 18 and older are assessed using the Supports Intensity Scale for Adults (SIS-A™) every three years.

ii) prior to the ISP, the DOH/DDD case manager, identifies the participant’s circle with the participant and/or guardian (if applicable) to include other supporting agencies. The DOH/DDD case manager with the participant and /or guardian obtains information on the following sections of the ISP: One Page Profile; Charting the LifeCourse, What’s Important and Meaningful to Me, Integrated Supports and Services, Risk and Safety and “My Information”, which documents “My Health” (includes clinical and support needs, diagnosis/medical conditions, allergies, medications and health supports), behavioral supports, emergency and crisis planning, and disaster preparedness, as applicable .

c) Participants are informed of services available through the waiver in a variety of ways; prior to each DOH/DDD intake, and again at each annual ISP meeting. The ISP meeting may be held either in-person or by telehealth, as chosen by the participant and/or guardian based on the participant’s individual circumstances and preferences. The DOH/DDD case manager provides and makes available and reviews the following:

i) the HCBS brochure, which lists the waiver services, eligibility criteria, other available services, and the process and timelines for admission into the waiver program;
ii) the Medicaid Waiver Providers in Hawaii booklet, which lists the services and the agencies that provide each service, including the geographic areas served by each agency. The booklet also contains questions the participant and/or guardian (if applicable) may want to ask the potential provider agency to help with service and agency choices. The booklet is also posted on the DOH/DDD website. Information about waiver providers is updated periodically to reflect changes in waiver services and provider agencies; and
iii) the Consumer Directed (CD) Services brochure, which describes the consumer directed option for self-directed services.

The DOH/DDD provides outreach and informational sessions to various community groups, e.g. the Department of Education (DOE), job and transition fairs, conferences and other venues to provide information on available programs and services through the HCBS waiver.

The DOH also has a website describing waiver services.

d) The ISP shall be a written description of what is important to the participant to ensure delivery of services in a

manner reflecting personal preferences, how any issues of health and safety shall be addressed, and what needs to happen to support the participant in his/her desired life. The ISP identifies the strengths, needs (clinical and support), and desired outcomes of the participant to also include:

i) how the participant communicates; (e.g. primary language, through gesturing, communicative devices, sign language, etc.);
ii) based on input from the DOH/DDD self-advocates, the following are included within the What's Important and Meaningful to Me section of the ISP; where the participant wants to live and with whom, health supports, well-being, safety supports, employment preferences, learning new things, relationships, leisure and recreation, what things the participant does not want in his/her life, opportunities to engage and receive services in the community, having the control of personal resources and other significant interests and preferences as identified by the participant (e.g. cultural, spiritual, religious traditions/celebrations, etc.);
iii) a discussion with the participant, guardian (if applicable) and circle of support regarding written information from the participant's medical, waiver provider and specialty medical reports. Other documents used include the case management assessments, and other reports (e.g. speech, occupational, educational, etc.) that will be integrated into the participant's individualized service plan as agreed upon by the participant and/or guardian (if applicable);
iv) SIS assessment results will be available to the planning team and will complement other information about the participant and their strengths, desires, and goals. Information from the SIS – which includes insights into the supports that the participant needs in various facets of their life, comparative data that illustrates the areas in which relatively more or fewer supports are needed as well as how the participant compares to the general population of persons with intellectual and developmental disabilities, and the participant's 'level' assignment for services with needs-based rate categories – will assist the team in the determination of the types and amounts of supports that participants require. While SIS assessment results will establish some parameters for the participant's services (for example, by assigning the rate category for certain services), the assessment does not dictate the person-centered planning process or the resultant service plan.
v) priority goals and outcomes based on the participant's personal preferences, related to relationships, community participation, employment income and savings, healthcare and wellness. Interviews are also completed with the participant to identify other choices as indicated in the What's Important and Meaningful to Me section of the ISP;
vi) The action plan describes the details to meet the participant's goals, preferences, outcomes, health care needs, risk and safety needs and other significant interests;
vii) the action plan identifies the providers, services (waiver and other services) and supports needed to meet the participant's goals, outcomes, and personal preferences. This also includes unpaid supports provided voluntarily;
viii) the action plan also identifies the participant's risk and safety concerns to include the necessary supports to minimize risks and safety concerns;
ix) the action plan shall include what services are delivered through the consumer directed services option, including information specified by the participant and/or representative about the specific training their employees will need to meet the participant's needs for assistance; and
x) the DOH/DDD case manager will complete an action plan revision for any changes that may occur during the 12-month period of the ISP. The waiver agency, DOH/DDD case manager, participant and/or guardian (if applicable) will sign the revised action plan for each change.

The frequency, duration, and timelines for services are specified in the action plan and agreed upon by the participant, guardian (if applicable) and his/her circle of support.

e) During the ISP there is a discussion and decision on how waiver and other services are coordinated and this is recorded in the ISP action plan. These discussions during the ISP meeting may be facilitated by the participant and/or guardian (if applicable) and the DOH/DDD case manager and within the ISP action plan the person responsible for the services and implementation will be identified. For waiver services the participant and/or guardian (if applicable) selects a provider from the Medicaid Waiver Providers in Hawaii booklet. The participant and/or guardian (if applicable) is also informed of the consumer directed services option where they are able to self-direct their own services. Participant and/or guardian (if applicable) have the option to receive some of their waiver services from Medicaid waiver providers and at the same time self-direct their services through the consumer directed services option. As needed, the participant's QI health plan and DHS are included to facilitate any medically necessary coordination.

i) Waiver services shall not supplant or duplicate services provided by another state agency to include but not limited to the Department of Education, Division of Vocational Rehabilitation, Child and Adolescent Mental Health Division,

EPSDT services through the DHS health plans, Adult Mental Health Division, and other private agencies;
ii) services are coordinated by the DOH/DDD case manager's review of the plans from the agencies listed above with the participant and/or guardian (if applicable). The DOH/DDD case manager shall also arrange for, gather the necessary documents and assist the participant with the application process for services through other agencies as identified by the participant and/or guardian (if applicable). Coordination of services will also include discussions facilitated by the DOH/DDD case managers with the state health plans, community agencies and other agencies as identified through the ISP process with the participant and/or guardian (if applicable); and
iii) the DOH/DDD case manager provides the participant with the option to facilitate their ISP meeting and coordinate the services/supports and is available to help the participant and/or guardian (if applicable) who requests any assistance with the facilitation and coordination of their ISP.

f) During the ISP meeting, assigned responsibilities are documented to include the frequency of services/supports as agreed upon by the participant and/or guardian (if applicable), DOH/DDD case manager, and circle of support following the review of the participant's needs, preferences, assessments, reports by clinical professionals, waiver provider recommendations and other reports;

i) the ISP action plan section identifies the participant's services/support, frequency and duration, start date, the name of the agency, phone number, and the signature of the representative providing the supports. The participant and/or guardian (if applicable) or personal representative also signs the action plan page along with the DOH/DDD case manager;
ii) monitoring of the implementation of the ISP is the responsibility of the DOH/DDD case manager with consultation from the participant and/or guardian (if applicable);
iii) following the Hawaii Administrative Rules (HAR) chapter 1738 governing targeted case management DOH/DDD case managers conduct at least quarterly face-to-face contacts and periodic telephone contacts with the participant and/or guardian (if applicable), other agencies and the circle of support to assess/re-assess the participant's goals, outcomes, any health concerns, preferences and recommendations. Participants and/or guardians may choose to receive case management monitoring visits in-person or by telehealth, based on the participant's individual circumstances and preferences;
iv) during the quarterly face-to-face contact, the case managers shall complete a written quarterly/monitoring review form summarize and document the quarterly contact in INSPIRE, identifying the progress/status of the participant's goals, needs, desired outcomes, preferences, service delivery, health and safety concerns, and requested updates;
v) DOH/DDD case managers will provide appropriate action and follow up by revising the ISP action plan as changes occur (e.g. unnecessary or inappropriate services/supports or the need for additional services/supports) following a discussion with the participant and/or guardian (if applicable);
vi) the DOH/DDD case managers shall also review the action plan page with the participant and/or guardian (if applicable) to ensure services and supports are delivered and implemented by the identified service providers (i.e.. paid and unpaid) in alignment with the ISP;
vii) the participant and/or guardian (if applicable) signs the Action Plan(s) and Consent for Services forms to verify agreements made during the planning process. The consent form includes information about the steps a participant and/or guardian can take when disagreements occur. Should the participant and/or guardian (if applicable) elect not to sign or consent to the ISP, the DOH/DDD case manager shall include supporting documentation within the participant's contact log describing the efforts to resolve any discrepancies. A Notice of Action suspending waiver services will be issued to the participant and/or guardian (if applicable) that include appeal rights; and
viii) a copy of the ISP is also given to the circle of support members to verify agreements/assignments and conditions of what needs to happen, as needed.

g) ISPs are completed within 12 months and may be updated at any time as requested by the participant and/or guardian (if applicable) and when a participant's needs/goals change or if there are changes in the service/support delivery. There is a process to authorize the provision of waiver services on an emergency basis which includes updates to the ISP to reflect additional services. Emergency basis is defined as situations where additional service is needed to address a participant's immediate health and safety needs, hospitalization, or imminent risk of more restrictive placement;

h) all participants shall be present at their ISP meetings unless they choose not to be there. All participants also choose the other individuals they want present at their meeting to serve as their Circle of Supports and are supported to include individuals who know them well and will participate in their best interest. The DOH/DDD case manager shall document within the ISP whether the participant is present at their meeting, document the reason if they are not

in the meeting, and document the other individuals that were present and participate; and

i) participants shall have the right and opportunity to conduct and facilitate their ISP meeting and may request assistance from their DOH/DDD case manager or other member of their Circle of Support. The DOH/DDD case manager shall document within the ISP whether the participant facilitated their meeting and, if not, who they chose to facilitate the meeting on their behalf.

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

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.

i) Chapter 333F, HRS, and HAR Title 17 Chapter 1738 identify the critical case management functions of assessment, planning, and ongoing monitoring and service coordination;

ii) DOH/DDD case managers review the participant's assessments (verbal reports from circle members, direct observation of the participant by the DOH/DDD case manager and circle of support (including direct workers), written reports by clinical and other professionals, Inventory for Client and Agency Planning (ICAP) information that identify needed supports and services to minimize existing or potential risk factors;

iii) Information in the ISP is reviewed every 12 months and as the participant's needs or preferences change. Any potential or existing risk factors or conditions are addressed in the participant's Action Plan.

iv) other assessments such as the service planning assessment, e.g. ICAP, may also identify behavior issues and concerns;

v) the quarterly reports from providers and Adverse Event Reports (AER) may also identify other issues which may need to be addressed in the ISP;

vi) the "My Information" section of the ISP identifies contingency plans/back up supports for participants in the event of a natural disaster, emergency or behavioral crisis. The following information is also listed in this section to assist support workers and waiver providers in assisting the participant: health information identifying conditions and contact persons, physician contact numbers, dates of prescribed medications/dosages and the purpose of each medication, list of allergies, special diets, use of any adaptive or specialized equipment, financial, guardian (if applicable) or family/friends contacts and medical insurance plan information;

vii) the DOH/DDD Clinical Interdisciplinary Team (CIT) is the forum for discussion of issues representing medical and/or behavioral challenges/dilemmas. Recommendations of follow up activities from the CIT are provided to the DOH/DDD case managers who then share the information with the participant/ guardian (if applicable), waiver provider, families as applicable, for consideration in the action plan that is sensitive to the participant's preferences;

viii) ISPs include "contingency plans" developed to ensure identification of persons of agencies responsible for various actions and activities; as part of person-centered planning, the roles and responsibilities of the circle of support members may include the identification of a natural support, e.g., family member or neighbor, willing to provide back-up supports. Particularly for individuals with challenging behaviors, a crisis contingency plan is developed to ensure that there is clear communication of what needs to happen during a crisis; and

ix) the provider agreements include the requirement that the waiver provider agency shall have a plan identifying risk and safety factors, e.g. available reliever or back-up staff when the assigned primary direct service worker is unavailable. Further, when necessary, a second provider agency (which is also authorized to render the service required by the service plan) may be identified as "back-up" provider agency at the service plan meetings at which time the details of contacts and other arrangements are clarified. This second agency would be used when the primary agency, as a result of unforeseen circumstances, may be unable to serve the participant. Copies of the ISP are provided to each agency.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (6 of 8)

f. Informed Choice of Providers. Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

i) Upon admission to the waiver, participants receive information regarding the availability of qualified providers of each service in each geographic location statewide. As described in Appendix D-1 c (a) participants are informed of services available through the waiver in a variety of ways;

ii) participants are supported in selecting providers. The DOH/DDD case manager reviews the HCBS brochure with each participant. The HCBS brochure lists the waiver services, eligibility criteria, and the process and timeline for admission into the waiver program. Each participant receives a copy of this brochure. Participants may also use the Medicaid Waiver Providers in Hawaii booklet, which lists the waiver services and the agencies that provide each service. It also includes a list of questions so participants or potential participants are free to select service providers. Waiver services and providers are also listed on the DOH/DDD website;

iii) DOH/DDD case managers encourage participants to call and visit agencies to discuss specific questions and comments with agency representatives; and

iv) participants/guardians (if applicable) may choose one or more service providers for one or more services. The choice of providers is discussed during the ISP meeting. Participant's choice of providers is documented in the ISP Action Plan.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (7 of 8)

g. Process for Making Service Plan Subject to the Approval of the Medicaid Agency. Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR § 441.301(b)(1)(i):

i) DOH/DDD conducts monitoring on an annual basis utilizing the CMS sampling guide; and

ii) on an annual basis, DHS/MQD will conduct a validation of all ISPs reviewed by DOH/DDD. Should discrepancies be identified, a plan of correction is implemented by DHS/MQD to DOH/DDD for remediation.

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:

Service plans are reviewed no less than annually or when significant changes occur which require service plan updates or upon request of the participant or guardian (if applicable).

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) DOH/DDD case managers shall monitor the implementation of the individualized service plan (ISP) and the participant's well-being, health and welfare. DOH/DDD case managers and their unit and section supervisors shall ensure adherence to the HCBS settings requirements as part of the monitoring process;

b) DOH/DDD case managers at minimum perform quarterly visits with the participant and contact caregivers, parents, guardians (if applicable), providers, teachers, and employers (as appropriate) and other persons and entities involved with the participant if and when necessary or appropriate. Participants/guardians may choose to receive case management monitoring visits in-person or by telehealth, based on the participant's individual circumstances and preferences. At least one face-to-face visit must be done in person annually for all participants;

i) DOH/DDD case managers assess/review the participant's satisfaction with current services, health status, opportunities for choice, any new health and safety issue and how it will be addressed, and any needed follow-up. Case managers are required, by HAR Title 17 Chapter 1738, to do "periodic observations of service delivery to ensure that quality service is being provided" as well as "evaluate whether a particular service is effectively meeting the needs of the recipient";
ii) DOH/DDD case managers obtain information from the participant and service provider (waiver or other service provider). For waiver services, quarterly reports are provided by the home and community-based services (HCBS) providers. The DOH/DDD case managers are able to review whether the services are being provided in accordance with the action plan, the participant's progress and determine if the goals and outcomes are being met. This information is also used for discussion and potential ISP updates. The DOH/DDD case manager monitors participant's access to waiver and non-waiver services, effectiveness of back up plans, including health services. Within the Action Plan, the participant is free to choose their provider or the self-directed option;
iii) as problems are identified, the DOH/DDD case manager will provide follow-up activities with the participant/ guardian (if applicable);
iv) DOH/DDD case managers document any unmet needs and gaps in services based on the assessments, development of the ISP, monitoring of services which is reported to the DOH/DDD administration;
v) Adverse Event Reports sent to the case managers are reviewed for critical event, actions taken (or not taken), and any corrective action plans made. Upon notification of an adverse event that may pose jeopardy to health and welfare, the DOH/DDD case manager will immediately follow up to ensure the participant's health and welfare. In situations where there is an informal report or question concerning appropriate action(s) to be taken, DOH/DDD case managers will follow up with the person(s) or agency(ies) as necessary;
vi) completed Adverse Events Reports are sent to the DOH/DDD staff who review the actions and plans of corrections. DOH/DDD staff may also do follow up reviews with case managers and providers (residential and/or waiver). DOH/DDD staff also work with DHS staff (including Adult Protective Services (APS) and Child Welfare Services (CWS)) to address issues of abuse and neglect. Joint visits with the DOH/DDD case manager and APS or CWS may be completed to review and address a situation with the waiver provider;
vii) DOH/DDD case managers and other DOH/DDD staff may conduct follow up visits in-person or by telehealth or via telephone calls in response to issues identified by a participant, legal guardian (if applicable), interested party, or provider, at any time. DOH/DDD case managers, DOH/DDD staff, and DHS/MQD staff may also respond to and follow-up on issues of concern identified from Adverse Event Reports. Examples of these may include: providing participant related information to DOH/DDD case managers for their follow up, requiring corrective action plans from providers or DOH/DDD staff and ensuring corrective action plans have been implemented;
viii) monitoring of service plans is done at three levels:
1) at the individual level, by the DOH/DDD case manager;
2) at the program level, by the DOH/DDD internal monitoring quality team (non-case managers); and
3) at the oversight and system level, by DHS/MQD; and
ix) DOH/DDD shall also monitor a representative sample of the ISPs on an annual basis (refer to performance measures). DHS will oversee the DOH/DDD monitoring and review non-compliant records. Programmatic and systemic reviews are completed by DOH/DDD and DHS/MQD to identify areas of concern. Systemic changes/improvements may include revisions of operational policies and procedures, modification of forms or training procedures and identification of new training topics, among others.

Quality assurance monitoring of case management services is conducted annually by the DOH/DDD/OCB staff. Retrospective record reviews of randomly selected participants are conducted to ensure compliance with waiver requirements and ISP policies. When remediation is required by the case management unit, a report of findings is provided to the supervisor identifying service plan implementation or health and safety issues that need to be addressed. The supervisor is responsible for addressing all areas of concern within a specified timeline. Aggregate data from the case management monitoring reviews is collected and reported to DHS/MQD on a quarterly basis. This data is used at the

program level for system improvement.

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 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:
#/% of waiver participants whose individualized service plans (ISPs) include services & supports that align with their needs as indicated in assessments (exclude health & safety risk factors) N: # of waiver participants whose ISPs include services & supports that align with their needs as indicated in assessments (exclude health & safety risk factors) D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other**	

	Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
#/% of waiver participants whose ISPs support the participants' personal goals N: # of waiver participants whose ISPs support the participants' personal goals D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**

☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

Performance Measure:
#/% of waiver participants whose ISPs include supports to ameliorate assessed risk factors N: # of waiver participants whose ISPs include supports to ameliorate assessed risk factors D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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.

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:
#/% of waiver participants who had a change in their needs/condition requiring and resulting in an ISP update N: # of waiver participants who had a change in their needs/condition requiring and resulting in an ISP update D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
#/% of waiver participants with an ISP updated within 365 days of previous ISP N: # of waiver participants with an ISP updated within 365 days of previous ISP D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample**

		Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

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:
#/% of waiver participants whose services (type, scope, amount, frequency, duration) were provided as specified in their ISPs N: # of participant records where the services (type, scope, amount, frequency, duration) were provided as specified in their ISPs D: Total # of participant records in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:

	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☒ **Other** Specify: Semi-annually	

Data Aggregation and Analysis:

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

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:
#/% of waiver participants with documentation of choice offered to self direct, if applicable N: # of waiver participants with documentation of choice offered to self direct, if applicable D: Total # of waiver participants in sample receiving services for which self direction is an option

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:
#/% of waiver participants with documentation of choice offered among available providers N: # of waiver participants with documentation of choice offered among available providers D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval =

		95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Performance Measure:

#/% of waiver participants with documentation of choice offered among waiver services for which there has been an assessed need by the case manager N: # of waiver participants with documentation of choice offered among waiver services for which there has been an assessed need by the case manager D: Total # of waiver participants in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

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.

Scheduled record reviews and satisfaction surveys performed by DOH/DDD assist in identifying individual as well as systemic problems. If a record is found to be out of compliance, e.g. ISP was not updated, DOH/DDD is responsible to ensure that the ISP is updated and to track and document this when completed. DOH/DDD submits the record review and survey results to DHS/MQD. DHS/MQD performs its own review of records reviewed by DOH/DDD that were determined to be out of compliance.

ii. Remediation Data Aggregation

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

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

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

◉ **No**

○ **Yes**

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

Appendix E: Participant Direction of Services

Applicability *(from Application Section 3, Components of the Waiver Request)*:

◉ **Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.

○ **No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the Appendix.

CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both.

Appendix E: Participant Direction of Services

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.

a) Under the Consumer Directed Service option, participants and/or their designated representatives exercise Employer Authority to hire, train, supervise, and when necessary, discharge their direct support workers. Participants who elect to self-direct their services also have Budget Authority to manage how their budget is spent. The Consumer Directed Service option is available for the following services: Chore, Personal Assistance/Habilitation, Community Learning Services, Respite, and Non-Medical Transportation. Participants may direct one or more of these 5 services. Participants may designate the support of a representative including a legal representative (for example, a guardian) or a non-legal representative. The designated representative is chosen specifically to support the participant in exercising Employer and Budget Authority.

b) During the Individualized Service Plan (ISP) development process, the case manager informs the participant of the Consumer Directed Service option. If the participant expresses interest, he or she participates in an orientation to learn more about the benefits, responsibilities and liabilities of this option. If the participant elects to self-direct services, a meeting is held with the participant, designated representative and case manager to further develop the ISP and determine how the participant will exercise Employer Authority, including what supports are needed. The action plan shall include what services are delivered through the consumer directed services option, including information specified by the participant and/or representative about the specific training their employees will need to meet the participant's needs for assistance.

The Consumer directed budget allocation is determined as part of the person-centered planning process and is based upon an assessment of needs and costing out of chosen services based on established rates. Participants may adjust the utilization of their consumer directed services without prior approval if the services are used as specified in the ISP and within their individual budget allocation.

c) Many individuals and entities support participants who use the CD option. The DOH/DDD Case Manager provides initial information and assistance regarding the CD option. DOH/DDD Consumer-Directed Specialists are available to provide additional information for the participants. The Financial Management Service (FMS) entity provides orientation and training for participants to exercise Employer and Budget Authority and understand procedures to meet tax and labor requirements. The training covers budget management, determination of employee wages, employer/employee taxes and employee timesheet/payroll procedures. In addition, the FMS entity provides participants with monthly reports of payroll expenditures and remaining budget balances so they can manage their budgets. The expenditure reports are also made available to the case manager for monitoring utilization of services which can impact the health and safety of participants. The FMS entity conducts the Criminal History Record Check of employees and offers employer skills training.

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:

Participant directed opportunities are limited to individuals living in certified Adult Foster Homes (2 persons), Developmental Disabilities Domiciliary Homes (5 persons), Adult Residential Care Homes (5 persons) and Expanded Adult Residential Care Homes (6 persons).

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) A variety of written materials about the CD option are available for all waiver participants and their representatives. These include the CD brochures, the HCBS brochure and the CD Overview and Requirements (Employer Handbook which provides detailed information on the roles and responsibilities of the CD employer, FMS entity and the case manager.

During the ISP development process, the case manager shares information on the CD option and provides participants/representatives with the brochures and handbook. DOH/DDD CD Specialists are available to provide more detailed information on the CD Option. If information is desired on the fiscal and payroll processes, the case manager can arrange a meeting with the participants/representatives and the FMS entity.

Once participants decide to enroll in the CD option, the FMS conducts an orientation and training for individuals that will serve as CD employers. The CD employer is the participant or a designated representative selected by the participant. The training includes roles and responsibilities of the CD employer, budget management, tax forms, determination of employee wages, employee timesheets, expenditure reports and the availability of employer skills training.

b) The DOH/DDD Case Manager, DOH/DDD CD Specialists and the FMS entity are responsible for furnishing information to participants/representatives.

c) Information is provided at the initial service planning meeting and at least annually thereafter. Information on the CD option from the case manager, CD specialist, and the FMS entity is available to the participants/representatives prior to making a decision whether to participate in the CD option. In addition, waiver participants/representatives can access the DDD website for information on the CD option or request information from their case managers at any time.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

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:

During the person-centered planning process, the selection of the CD option may be made. The participant, legal guardian or designated representative will acknowledge this on the ISP and verify that the participant had a choice of selecting the CD option.

Whenever possible, the participant is provided support to direct services under the CD option as the CD employer. The CD employer will have Employer Authority to recruit, hire, schedule, train, supervise and terminate employees. In addition, the employer will have Budget Authority to make decisions over a CD budget and responsibility to manage the allocation of dollars. The employer must be at least 18 years old.

If the participant is unable to carry out the duties of the CD employer, a designated representative can be appointed to carry out the duties of the CD employer. The designated representative shall be regarded as the common law employer. An adult participant without a legal guardian may freely choose a non-legal representative to serve as the CD employer. If the participant has a legal guardian of the person, that individual would be expected to serve as the CD employer. However, if the legal guardian is unable to serve, the guardian may assist the participant to choose a non-legal representative to serve as the CD employer. The circle of supports will ensure that a non-legal representative chosen by the adult participant to be the CD employer is someone who supports choices and decisions by the participant and who will not directly (or indirectly) benefit financially. The non-legal representative should have a personal interest and relationship with the participant.

In order to minimize potential conflict of interest and to provide safeguards for the participant, the DOH/DDD has implemented a policy that: (1) the legal guardian assisting the participant to select a non-legal representative as the CD employer and (2) the CD employer, cannot be paid for providing services under the CD option. As situations arise, the DOH/DDD provides technical assistance and supports to address how and what supports may be provided to ensure the participants receive quality services in a manner desired by the individual and in the individual's best interest.

The case managers maintain contact with participants and monitor the delivery of waiver services and any issues affecting the health and safety of participants. CD specialists monitor monthly over/under service expenditures and alert the case managers of situations that may indicate the questionable use of service dollars. The FMS entity provides individual monthly expenditure reports to the employer, case manager and the CD specialist for review.

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 Assistance/Habilitation (PAB)	☒	☒
Respite	☒	☒
Chore	☒	☒
Community Learning Services (CLS)	☒	☒
Non-Medical Transportation (NMT)	☒	☒

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:

Under the CD option, the FMS entity will be required to support participants to comply with all federal and state requirements for employers related to tax and labor regulations. The FMS entity is selected through an administrative selection process. A competitive Request for Proposals process is used to select a single FMS entity to serve all participants in the CD option. The procurement methods comport with the applicable regulations at 45 CFR §74. The expenditure is included in the State's cost allocation plan.

ii. Payment for FMS. Specify how FMS entities are compensated for the administrative activities that they perform:

The FMS entity is paid a per person per month fee.

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:

Process Criminal History Record Check. Ensure support workers meet qualifications specified by participants. Provide orientation and skills training for participants or their designated representatives related to common law employer functions.

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:

Make individual expenditure reports available to DOH/DDD Case Manager. Provide consolidated expenditure reports to designated DDD administrative staff. Provide an orientation packet and manual to each participant. The packet includes all employer required forms and training materials.

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.

The DOH/DDD is responsible under its competitive procurement and contacting procedures to monitor and assess the performance of the FMS entity. Based upon contractual specifications, the FMS entity must provide monthly reports on performance measures to the DOH/DDD and provide remediation actions for any items not meeting expected requirements. The FMS entity must “upfront” pay to employees based upon timesheets approved by the CD employer within service authorizations and file claims for reimbursement. Such claims are audited by the DOH/DDD.

The FMS must provide monthly payroll expenditure reports to participants and the DOH/DDD. In addition, payroll and monthly/quarterly over/under reports are submitted to the DOH/DDD for review. The FMS is required to keep a log on complaints/resolutions and conduct an annual satisfaction survey of CD employers and case managers.

A quarterly fiscal audit is conducted by DOH/DDD every quarter to ensure payment to the FMS entity for CD payroll is supported by acceptable documentation and authorized on the ISP.

Quarterly meetings are held with the FMS and DOH/DDD. Phone and email communication are used for any issues that arise between regularly schedule meetings.

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:

During the person-centered service planning, the case manager provides information on waiver services, including the CD option as defined in section E-1.e. If additional information is needed by the participant/representative before making a decision, the case manager connects them with the CD specialists and/or the FMS entity for follow up. Utilizing a person-centered planning process, the case manager works with the participant and his/her circle of supports to develop a service plan that identifies the participant's preferences, goals, support needs and the available resources (including waiver services.) If the CD option is selected, the participant and case manager identify service needs under the CD option and formulates the CD budget. The case manager then assists the participant to apply for Medicaid and Long-Term Services and Supports. Once the participant is eligible by DHS/MQD, the case manager submits a referral to the FMS entity for orientation and training. The case manager monitors the delivery of services though participant contact and expenditure reports reflecting the utilization of services. Should there be issues with the CD option, the case manager follows up with the CD employer, CD specialists and the FMS entity to resolve issues and ensure the continuity of waiver services. If necessary, for the participant's health and safety, the case manager works with the participant/representative to arrange transition to provider agency services.

☐ **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
Personal Assistance/Habilitation (PAB)	☐
Private Duty Nursing (PDN)	☐
Respite	☐
Assistive Technology (AT)	☐
Chore	☐
Specialized Medical Equipment and Supplies (SMES)	☐
Individual Employment Supports (IES)	☐
Training and Consultation	☐
Personal Emergency Response System (PERS)	☐
Additional Residential Supports (ARS)	☐
Community Learning Services (CLS)	☐
Residential Habilitation (ResHab)	☐

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Discovery & Career Planning (DCP)	☐
Community Navigator (CN)	☐
Waiver Emergency Services	☐
Environmental Accessibility Adaptations (EAA)	☐
Personal Care Assistance (PCA)	☐
Residential Care Supports	☐
Non-Medical Transportation (NMT)	☐
Adult Day Health (ADH)	☐
Vehicle Modifications (VM)	☐

☒ **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:

a) FMS are funded as an administrative activity.

b) The FMS entity is selected through a competitive procurement process. A competitive Request for Proposals process is used to select a single FMS entity to serve all participants in the CD option. The Fiscal Management Services (FMS) entity is paid a per person per month fee for furnishing information and assistance to participants. The expenditure is included in the State's cost allocation plan.

c) The FMS entity provides information and support to participants and their representatives to implement Employer and Budget Authority. Information on roles and responsibilities of the employer, FMS entity and case manager is presented at orientation. In support of Employer Authority, the FMS entity serves as the Fiscal/Employer Agent to process employee payroll and withhold, report and deposit employer and employee taxes. The FMS entity ensures compliance with federal and state labor regulations and also provides employer skills training as needed. Should there be training requirements for employees identified in the ISP under the CD option, the FMS entity will monitor and check that the training has been completed or any required certification in in effect. The FMS also conducts the required Criminal History Record Checks for all CD employees.

In support of Budget Authority, the FMS entity provides information on managing a CD budget, processes employer initiated reallocation of funds between services and provides monthly expenditure reports to the employer, case manager and CD specialist staff for review.

d) The DOH/DDD is responsible under its competitive procurement and contacting procedures to monitor and assess the performance of the FMS entity. Based upon contractual specifications, the FMS entity must provide monthly/quarterly reports on performance measures to the DOH/DDD and provide remediation actions for any items not meeting expected requirements. The FMS entity must "upfront" pay to employees based upon timesheets approved by the CD employer within service authorizations and file claims for reimbursement. Such claims are audited by the DOH/DDD.

The FMS must provide monthly payroll expenditure reports to participants and the DOH/DDD. In addition, payroll and monthly over/under reports are submitted to the DOH/DDD for review. The FMS is required to keep a log on complaints/resolutions and conduct an annual satisfaction survey of CD employers and case managers.

A quarterly fiscal audit is conducted by DOH/DDD every quarter to ensure payment to the FMS entity for CD payroll is supported by acceptable documentation and authorized on the ISP.

e) The CD Office under the DOH/DDD is responsible for monitoring contact compliance of the FMS entity and conducting a quarterly fiscal audit under the procedures of the DOH/DDD Fiscal Section.

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)

l. Voluntary Termination of Participant Direction. Describe how the state accommodates a participant who voluntarily

terminates participant direction in order to receive services through an alternate service delivery method, including how the state assures continuity of services and participant health and welfare during the transition from participant direction:

The case manager works with participants during the person-centered service planning process to identify the type, amount, and frequency of services based on assessed need. Participants may use the CD option exclusively or in conjunction with agency managed services. As part of the process, participants identify back up plans for the CD option which may include natural support, additional CD employees or agency managed services. If a participant decides to voluntarily terminate the CD option, the case manager reassesses the needs of the participant and implements the backup plan as applicable. If agency managed services are used, the case manager processes a service authorization with an appropriate number of services units.

The case manager will ensure the health and safety of the participant and the CD option will not be terminated until the transition has been completed and services are in place.

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.

Circumstances:
a) Participant’s preferred direct support worker is unable or unwilling to provide the service and there are no options desired by the participant;
b) Participant’s preferred direct support worker has been confirmed as a perpetrator of abuse (including financial) and/or neglect of the participant;
c) Participant’s preferred direct support worker(s) do not or cannot provide appropriate services, potentially endangering the participant’s health and welfare and when there is no back-up available;
d) Participant or designated representative continually fails to meets consumer directed program requirements, e.g., continual inability to manage the budget, untimely review and approval of employee timesheets, inability to hire, train, supervise or retain workers, approving work that is not in accordance with ISP, inadequate protection of health and welfare during the delivery of services commission of fraudulent or criminal activity associated with self-direction.

For participants who utilize the consumer directed option, the case manager generally is the first line of quality assurance, providing regular ongoing monitoring. Prior to starting consumer directed services, the participant and/or his designated representative shall have a back-up plan in place. Back-up plans include natural supports, other consumer directed workers and/or a provider agency to assure ongoing supports – it is preferable to have at least two natural supports and/or consumer directed workers and a provider agency, as a final back-up to provide services. In situations where the participant’s health and welfare may be in jeopardy, the case manager may immediately implement the back-up plan after discussion with the participant and/or designated representative. The case manager may also take other appropriate action if necessary (including referral for protective services assistance.) The case manager will, during the transition, facilitate access, coordinate, monitor and assess the need for supports, e.g., other waiver services or other types of services.

The case manager will assure the health and welfare of the participant, arranging for agency provided services or natural supports. Natural supports will not supersede the transition to provider supports.

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		891
Year 2		939
Year 3		987
Year 4		1035
Year 5		1083

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:

Criminal history record checks are obtained by the FMS entity and the cost incorporated into the monthly fee.

☒ **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:

The FMS entity conducts background checks of employees with (1) the Office of the Inspector General, U.S. Department of Health and Human Services, List of Excluded Individuals and Entities, (2) State Medicaid Agency's Excluded Provider List and the Hawaii State Department of the Attorney General, Hawaii Criminal Justice Data Center (HCJDC). The findings of the HCJDC are reported to the CD participant/representative who can still decide whether to hire the prospective employee.

☒ **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:

Funds for the CD services in the ISP and reflected in the budget may be reallocated among CD services subject to the intent of the CD services in the ISP and within the allocated budget. Goods are not procured under the CD option.

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 base service mix for the Individual Supports Budget includes most of the services that can be consumer-directed (Personal Assistance/Habilitation, Community Learning Services, Respite, and Chore). Non-Medical Transportation is funded in addition to the Individual Supports Budget as an “add-on” service. When the participant receives an Individual Support Budget, that budget represents the total cost of their waiver services authorized in the Individualized Services Plan (ISP). The participant can choose to direct a portion or all services that can be consumer-directed within the Individual Supports Budget. The participant may decide on a combination of CD and agency-provided services, depending on his or her needs and preferences. The participant will determine the amount of dollars to be allocated to CD services from the Individual Supports Budget. The amount of dollars for each CD service will be documented in the Action Plan section of the ISP with the frequency, duration and timelines for each CD service. The total dollars allocated for the CD portion of the Individual Supports Budget and the “add-on” Non-Medical Transportation will constitute the CD budget.

Once the amount of the CD annual budget is identified and documented on the ISP, the participant has the authority to: (1) change the type of services to be utilized, (2) revise the amount and frequency of service (3) set the hourly wages of individual employees (within a range provided by the FMS entity for comparable work in the geographic area and (4) authorize overtime (for time limited emergency situations). This authority is subject to the limit of the CD annual budget and inclusion of the service on the ISP. In addition, the service must be used toward the goals of the service on the ISP. Monthly expenditure reports will be provided by the FMS entity to the CD employer and case manager for monitoring. If a change in the participant’s condition reflects a need for an increase of services that will exceed the CD budget, the case manager must be notified and any budget increase approved by the DOH/DDD. The budget methodology will be included in the CD Option Overview and Responsibilities (Employer) Handbook which will be posted on the DDD website. The CD Handbook is seen to be the single source of information for CD employers as well as for prospective employers seeking information on the CD option.

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 CD budget is developed as part of the person-centered service planning process. Based on Individual Supports Budget tiers, a total Waiver budget is identified. The CD budget is a subset of the Waiver budget dependent on the services that the participant decides to include under the CD option. The number of service units, frequency, duration and the CD service rates determine the CD budget amount. This information is shared with the participant and documented on the ISP Action Plan. The Action Plan is then reviewed and authorized by the Case Management Branch and confirmed with the participant by the case manager.

Any request for an increase in the CD budget is reviewed by the DDD Exception Review (utilization review) Committee. The Committee will review the reason for the request and consider related factors in accordance with the Committee's policy. The Committee's decision may be appealed to the DDD and/or to the State Medicaid Agency.

If the State denies the requested budget increase in whole or in part due to the limits established by the Individual Supports Budgets, the participant will be informed of their right to appeal and request a fair hearing consistent with the requirements of 42 CFR 431.200 et seq.

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:

Adjustments may be made among CD services listed in the ISP without approval if it is within the allocated budget and consistent with the intent of the service identified in the ISP. Any reduction of a CD service addressing a health and safety issue should be discussed with the DOH/DDD Case Manager before the adjustment is made.

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 FMS operates a web-based information system to track individual monthly payroll expenditures. The participant and DOH/DDD Case Manager have access to monthly expenditure reports. The DDD receives monthly expenditure reports and identifies over/under utilization for follow up by case managers. The case manager will follow up with the participant for unresolved budget problems. Quarterly reports will be compiled by the DOH/DDD to systemically monitor expenditures and CD service utilization trends for Quality Improvement actions. The quarterly reports will be submitted to the state Medicaid Agency for oversight review.

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

The state provides an opportunity to request a Fair Hearing under 42 CFR Part 431, Subpart E to individuals: (a) who are not given the choice of home and community-based services as an alternative to the institutional care specified in Item 1-F of the request; (b) are denied the service(s) of their choice or the provider(s) of their choice; or, (c) whose services are denied, suspended, reduced or terminated. The state provides notice of action as required in 42 CFR §431.210.

Procedures for Offering Opportunity to Request a Fair Hearing. Describe how the individual (or his/her legal representative) is informed of the opportunity to request a fair hearing under 42 CFR Part 431, Subpart E. Specify the notice(s) that are used to offer individuals the opportunity to request a Fair Hearing. State laws, regulations, policies and notices referenced in the description are available to CMS upon request through the operating or Medicaid agency.

The individual (or his/her legal representative) is informed of the opportunity to request a fair hearing at various points in the process of admission and service delivery. For purposes of this section, the term “individual” means a person who is applying for, but not yet determined eligible for, the waiver and includes his/her legal representative. The term “participant” means a person who is eligible for and enrolled in the waiver and includes his/her legal representative.

As part of the waiver application and enrollment process, individuals are provided information about waiver home and community-based services (HCBS) at the first meeting with the DOH/DDD case manager. At the initial meeting, the DOH/DDD case manager explains the difference between institutional services and waiver HCBS, the HCBS waiver program and HCBS requirements (Medicaid eligible, meet Intermediate Care Facility for Individuals with Intellectual Disabilities [ICF/IID] level of care, information requirements, etc.), and gives the individual a choice between institutional services or HCBS. Formal written notice and information about how to request an administrative hearing are provided to any individual determined to be ineligible for the waiver.

Once enrolled in the waiver, participants, the DOH/DDD case manager provides the DOH/DDD HCBS and Appeals brochures. These brochures provide information on the process for appealing any adverse action taken by the DOH/DDD on waiver services. Participants are provided the option of requesting an informal process with DOH/DDD prior to the formal administrative hearing at DOH/DDD or DHS/MQD. DHS/MQD and DOH/DDD Information about Grievance and Appeals is provided at least annually at the person-centered planning meeting by the DOH/DDD case manager.

During the course of reevaluating the participant’s level of care, needs and services, the DOH/DDD case manager informs participants of their right to appeal where there is any adverse action, (i.e., when waiver services are suspended, reduced, denied or terminated). Participants are informed of the right to be notified in advance of the adverse action being taken, the right to request an informal review by DOH/DDD, and the right to request an administrative hearing before a DOH/DDD Hearing Officer and a DHS/MQD Hearing Officer. Participants are advised of the right to be represented by a representative at the hearing. Participants are informed that current services continue during the pendency of the information review and appeal. Participants are informed of the right to forgo the informal review with DOH/DDD and proceed directly with an administrative hearing with either DOH/DDD or DHS/MQD.

Where waiver services are suspended, reduced, denied or terminated, the DOH/DDD case manager completes a Notice of Action (NOA) form to inform the participant of the adverse action and the reason for the action. The Notice of Action form is provided at least ten (10) working days prior to the action being taken, per Hawaii Administrative Rules (HAR) § 11-88.1-10(b) except in circumstances as defined in HAR §17-1713(1)(c) where adequate notice shall be sent not later than the date of the action. A copy of the Notice of Action form is kept in the participant’s case file.

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.

Do not complete this item.

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:

The DOH/DDD handles grievance/complaints relating to the DOH/DDD eligibility and waiver services.

Participants are informed that filing a grievance or making a complaint are not pre-requisites or substitutes for a Fair Hearing.

- **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).

a) The DOH/DDD has a Consumer Complaints Resolution Unit (CCRU) that is responsible for receiving concerns/complaints about DDD services. These are issues that have not been resolved at either the case management unit level, provider level, or system level. These issues may include complaints against case managers, about a process or processes that did not occur as perceived by the complainant, about service delivery, and about decisions affecting service delivery. The DOH/DDD is responsible for receiving the complaints/concerns and tracking them to ensure they are investigated and resolved in a timely manner.

b) Complaints may be registered verbally or in writing by email or letter. Initial response to complaints is provided within 24 hours, or the next working day following receipt. The timeline for the resolution of complaints is 30 working days.

c) As indicated in the DOH/DDD Complaints Policy and Procedure 3.09, complaints are resolved through a centralized, uniform, and systematic process. The CCRU gathers information related to the complaint from the case manager, provider or other party with information about the complaint. The CCRU attempts to resolve the complaint by identifying the action(s), if applicable, that could improve the situation. CCRU does not investigate personnel matters involving DOH/DDD employees. Complaints related to labor relations are referred to the Department of Health Human Resources Office. Participants are informed that they are able to request a Fair Hearing and that the use of the Grievance process does not replace a Fair Hearing.

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).

As indicated in the DOH/DDD's Managing Participant Risk to Ensure Health Welfare Policy, all waiver providers, DOH/DDD case managers, consumer-directed employers, adult foster home certified caregivers, individuals involved with the participant (e.g., families, guardians, if applicable) and workers are responsible for following protocols that keep participants safe and taking proactive and immediate actions to protect participants from potential harm. Proactive strategies include risk identification and risk mitigation that impact the health and welfare of participants. This includes:

1) suspected abuse, neglect, or financial exploitation of a participant. Abuse includes physical, psychological, and sexual abuse. An incident in this category must also be reported to Adult Protective Services (APS) or Child Welfare Services (CWS) pursuant to Section 346-222, Hawaii Revised Statutes (HRS) and Section 350-1, HRS;
2) injuries of a known or unknown cause requiring medical or dental treatment rendered by ambulance or emergency medical personnel, urgent care or emergency room medical staff or dentist, or results in hospitalization;
3) medication errors that include wrong medication, wrong dose, wrong time, or missed dose;
4) changes in the participant's behavior, including but not limited to aggression, self-injurious behaviors, property destruction, sexualized behaviors that may require a new or updated Behavior Support Plan as a result of the intensity and/or severity of the behavior;
5) changes in the participant's health condition requiring medical or dental treatment rendered by ambulance or emergency medical personnel, urgent care or emergency room medical staff or dentist, or results in hospitalization;
6) death of a participant;
7) whereabouts unknown regardless of the amount of time a participant was missing or unaccounted for;
8) any use of restraints such as chemical, mechanical, and physical;
9) any use of seclusion in which the participant is confined to a room/area and prevented from leaving by closing the door or using another barrier; and
10) any use of prohibited restrictive intervention.

All adverse events are reported to the DOH/DDD case manager. Events that are categorized as critical require special submission to DOH/DDD/OCB. All Waiver Providers, Consumer-Directed Employers, and Adult Foster Home Certified Caregivers must make a verbal report within 24 hours or next working day of the critical event and submit a written AER form within 72 hours or next business day to the DOH/DDD case manager. Based on the available information, the DOH/DDD case manager must assess if there is potential for further injury or harm to the participant and/or others in the home or program setting, and notify his/her supervisor immediately. The supervisor in consultation with his/her section supervisor, Case Management Branch Chief, DOH/DDD Administrator, and DOH/DDD Medical Director will determine if an initial onsite assessment is warranted and identify the DOH/DDD staff who will be conducting the assessment.

For incidents involving alleged or suspected abuse, neglect, or exploitation, within 24 hours of receiving the verbal report, the DOH/DDD case manager must gather relevant information (date, time, and location of the event, identify persons involved, identify alleged perpetrator), assess the extent of injury or harm to the participant, verify actions taken to provide for the participant's immediate safety, and confirm if a report was made to APS or CWS. If a report to APS or CWS was not made, the DOH/DDD case manager shall make a report immediately. The DOH/DDD case manager shall notify his/her supervisor of the allegations and a determination will be made for the method of follow-up, e.g., by telehealth or a face-to-face interview with the participant to determine if additional medical treatment or actions are necessary to safeguard the participant. If the participant has a legal guardian and it is believed that the legal guardian is not involved in the incident, the DOH/DDD case manager will inform the guardian of the situation and discuss a recommended plan of action. The DOH/DDD case manager shall work in collaboration with the APS or CWS worker and notify the respective licensing and certifying agency if the participant resides in a licensed or certified home.

As indicated in the Mandatory Reporting of Abuse and Neglect Policy, all DOH/DDD employees are mandated to report and follow-up on any allegations or incidents of suspected abuse, neglect, and/or exploitation of DOH/DDD participants. DOH/DDD employees shall comply with all HIPAA requirements related to the disclosure of protected health information to APS, CWS, and police, as referenced in this policy.

Upon receipt of the written AER form, the DOH/DDD case manager is responsible for:

1) documenting whether reporting timelines were met;
2) determining if the information in the report is accurate and complete and if not, requiring the reporter to re-submit an updated/revised report;
3) assessing the appropriateness of the immediate action taken to safeguard the participant;
4) assessing the appropriateness of the plan of action to prevent the recurrence of the event;

5) ensuring the participant's health and safety by making a face-to-face visit with the participant or phone contact with the reporter to get an update on the participant's current status;
6) assessing if additional actions are warranted to prevent the recurrence of the event;
7) updating the participant's Individualized Service Plan if there are risks factors that need to be addressed and identifying the supports to minimize the assessed risks; and
8) conducting ongoing monitoring of services to assure implementation of any corrective action plans. At a minimum, the DOH/DDD case manager shall consult with the unit RN or RN designee for all adverse events involving medication errors, changes in the participant's health condition requiring medical or dental treatment, and when an adverse event results in hospitalization.

The DOH/DDD case manager is responsible for documenting all actions taken in response to the event on the AER form and submitting the report to his/her supervisor for review and signature. This part of the AER form must be submitted to the Waiver Provider, Consumer-Directed Employer, or Adult Foster Home Certified Caregiver who reported the event within five (5) working days of receiving the written report.

c. Participant Training and Education. Describe how training and/or information is provided to participants (and/or families or legal representatives, as appropriate) concerning protections from abuse, neglect, and exploitation, including how participants (and/or families or legal representatives, as appropriate) can notify appropriate authorities or entities when the participant may have experienced abuse, neglect or exploitation.

A DOH/DDD brochure on rights and responsibilities of a person with a developmental disability is available. Included in this brochure is a section on abuse including rights, signs, and actions to be taken. This brochure is shared with case managers for use as part of their discussions with participants and/or their legal guardian (if applicable) or designated representatives. This brochure is also incorporated in training for stakeholders, e.g., individuals (to be shared as part of self-advocacy training), families, case managers, providers, and other interested stakeholders.

Whenever allegations of abuse are made, the DOH/DDD case manager informs the participant and/or legal guardian (if applicable)/designated representative of the allegations, concurrently explaining reportable events according to the CWS and APS laws. The case manager, in further follow up discussions and queries with the participant or the participant's legal/designated representative, will discuss more fully, the participant's rights and the actions or inactions that are considered to be abuse, exploitation, or neglect.

The waiver providers are required to inform the participant and/or the legal guardian (if applicable) or designated representative of participant's rights, including being free from exploitation, neglect, and abuse. Additionally, the participant signs an acknowledgement form annually which reviews these rights.

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 DOH/DDD Program Services Evaluation Unit (PSEU) is responsible for the oversight of the adverse event reporting system, which includes receiving and evaluating all adverse event reports, making recommendations for follow-up, and analyzing the information to identify trends/patterns and to make recommendations for quality improvement.

PSEU staff will evaluate each adverse event report to determine whether or not appropriate actions were taken to prevent the recurrence of the event and to assure the participant's immediate safety. Incidents involving suspected abuse, neglect, or exploitation are reported to APS or CWS, as appropriate. The PSEU staff will assure mandatory reporting requirements are met for incidents involving suspected abuse, neglect or exploitation of a participant.

When the AER form includes documentation ensuring the participant's health and welfare and there is a plan in place to prevent the recurrence of the reportable event, the AER is closed and no additional follow-up is required. If additional documentation or follow-up is required by the DOH/DDD case manager (form is incomplete or contains inaccurate information, or critical information is missing), the PSEU staff will notify the respective Case Management Branch staff and request that the additional information be submitted in writing. For events that require follow-up because of the potential to impact the health and welfare of the participant or others in the residential or program setting, the PSEU staff will notify the respective Branch staff overseeing the Adult Foster Home or Waiver Provider Agency and request a plan of action to address the identified issues.

Investigations are conducted by PSEU staff and others designated by DOH/DDD for the following circumstances: Any death as a result of:

1) serious injury that required treatment in the emergency room or urgent care or resulted in a hospitalization;
2) medication error;
3) elopement;
4) unknown circumstances;
5) the use of restraint or seclusion; and
6) any and all other situations identified by the DOH/DDD Administrator or Outcomes and Compliance Branch Chief as requiring an investigation.

Investigations will be conducted within five (5) working days of a death review when the death has been determined to meet the criteria for an investigation. Depending on the range of activities required to complete each investigation, the timeframe for completing an investigation may take up to 90 days. Within 14 days of completing the investigation, the participant's family or legal guardian, if applicable and other relevant parties will be informed of the investigation results.

All instances of suspected abuse and neglect must be reported to the DHS Adult Protective Services (APS) or Child Protective Services (CPS) intake units. DHS has policies and procedures to address the reports and resolutions. For waiver provider agencies, the Waiver Provider Standards stipulates that they must inform the DOH/DDD case manager and DHS (APS or CPS) within 24 hours or next business day of the occurrence of a critical event and submit a written report within 72 hours or next business day.

For all other types of critical events or incidents as defined in G-1-b, the following process will be followed. When DOH/DDD case managers are notified of critical events, they are required to complete the Adverse Event Report (AER). The DOH/DDD case managers assess the information related to the adverse/critical event(s) that is submitted by the individual or agency, e.g. waiver Provider. DOH/DDD case managers are required to respond to critical incidents within the first working day; coordination with DHS (APS or CPS) is done as necessary to ensure coordinated service planning. DOH/DDD case managers provide follow-up activities by contact, through telephone calls or face-to-face meetings or both, with the participant or the participant's legal or designated representative, to ensure that the participant is safe. They obtain additional information required to determine what follow-up actions may be necessary, i.e., alternate placement of participant into another living environment, revising the service plan, arranging for a medical evaluation/follow-up treatment, providing more information to enforcement agencies, coordinating training or other supports, etc. Follow-up actions may include conducting on-site reviews and interviews with the collaterals. This may include a review of the provider in consultation with DHS to determine that corrective actions (for participant and by provider) are adequate. Following completion of interviews and fact finding, case managers inform the participant and/or guardian (if applicable) of the results, including recommended actions to be taken by the case manager, as these often include presenting options for different providers of particular services, e.g., residential, agency, direct support worker, etc. Investigations will be completed as soon as possible but typically within 90 days.

Data relating to critical events are analyzed and statistical reports prepared, e.g., information on trends, patterns, indicators of how services are rendered to each participant, etc. and reviewed by DOH/DDD for identification of issues of concern, i.e., trending analysis, corrective action plans (agency, case manager, supervisors) and follow-up action, e.g., monitoring, training, etc. In addition to responding to individual occurrences of adverse/critical events, emphasis would be on the adequacy of the Providers' ongoing Quality Assurance activities. Areas of deficiencies will be addressed by DOH/DDD and monitored by DHS/MQD.

For adverse/critical events, case managers and agency staff are expected to respond immediately to begin information gathering or the investigative processes. The timelines for reporting are previously addressed in this document. Actions taken by the direct support worker, agency, case manager, and/or APS or CPS are expected to be driven by the nature of the critical event and agency policies and procedures. Of foremost concern is the health and welfare of the participant.

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.

Providers submit adverse/critical events on an Adverse Event Report (AER) form. These are collected, tracked, and reviewed by DOH/DDD using the database mentioned above. DOH/DDD follows guidelines that are issued by DHS/MQD and follows established policies and procedures.

DOH/DDD and DHS/MQD are responsible for overseeing that adverse/critical events, including all incidents of abuse and neglect, are reported and are satisfactorily addressed and resolved. The frequency of quality assurance reviews by DOH/DDD and reports received by DHS/MQD varies depending on the specific type of information gathered. Refer to Quality Improvement sections located at the end of this appendix for specific information and frequencies. An overview of this oversight includes:

1) review of all AERs submitted by DOH/DDD, which will comprise of an aggregation and analysis of 100% of AERs received. DHS/MQD will notify DOH/DDD if further remediation, corrective action, or system improvement is needed;
2) detailed review of AER Reports for all deaths; and
3) detailed review of AER Report for participants or providers that raise concerns based on monitoring trends.

All waiver providers are required to have an Internal Quality Improvement program that includes a process for providing ongoing monitoring, quarterly assessments and trending of Adverse Events for appropriateness of action taken, follow-up and preventive actions to be taken.

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).

Positive Behavioral Support (PBS) Policy & Procedure (P&P) 2.01 ensures a PBS approach with Waiver participants. It establishes practices to allow people to engage in adaptive and socially desirable behaviors for meaningful/productive lives. It also promotes participants' participation in integrated activities. The P&P sets forth core values of supporting people by expanding opportunities and enhancing quality of life.

P&P 2.01 defines specific procedures for the development of behavior support plans (BSP) including that BSPs must be developed for people who have behaviors that may threaten the health and safety of themselves or others, or that limit the participant from participation in an integrated activity. It requires the BSP be developed per Act 199 of 2015 which established the Behavior Analyst Program in Hawaii.

Purpose of P&P 2.01 is to limit/specify restrictive procedures to ensure restrictive measures are used only for the protection of participants from imminent harm to self or others; are used after less restrictive interventions have been attempted; participants are supported in caring, responsive environments free from abuse; supports are based on understanding the participant has reasons for their actions; and effort is directed at creating opportunities for participants to exercise choice.

Restrictive procedures are defined as procedures that restrict a participant's freedom of movement, access to property, or require a participant to do something which they do not want to.

Aversive procedures are intended to inflict pain, discomfort and/or social humiliation to modify behavior including electric skin shock, liquid spray to one's face and strong, non-preferred tastes applied in the mouth. These are prohibited.

"Behavior Support Plan" outlines the steps to be taken by members of the participant's team to modify the physical environment, teaching of replacement skills, how team members should respond to challenging behaviors, and ways to decrease the likelihood of challenging behaviors from occurring. The BSP is developed based on the results of a Functional Behavior Assessment (FBA).

"Chemical Restraint" a psychotropic medication prescribed by a licensed health care professional with prescriptive authority: on a routine basis without an appropriate Diagnostic and Statistical Manual (DSM) diagnosis for the purpose of behavioral control; or the incidental use of medications, sometimes called PRN or as needed medication, to protect the participant from imminent harm to themselves and/or others through temporary sedation or other related pharmacological action. The P&P defines actions that are not considered chemical restraints.

"Mechanical Restraints" a restraint which a device, material or equipment is involuntarily applied to the participant's body or immediate environment that immobilizes, restricts, limits, or reduces any bodily movement. The P&P defines devices that are not considered mechanical restraints and prohibitions.

"Physical Restraints" a restraint in which physical force applied to the participant and involuntarily restricts their freedom of movement or normal access to portion(s) of their body. Refer to P&P 2.02 Restrictive Procedures for additional information and DOH/DDD parameters for use of Physical Restraints, including prohibitions and limitations.

"Restraints" a physical, chemical or mechanical interventions used as a last resort on an emergency basis to protect the participant from imminent harm to themselves and/or others using the least restrictive means possible and for the shortest duration necessary.

"Restrictive Procedures" a procedure that limits a participant's freedom of movement, access to other locations, property, or rights.

"Seclusion" a restrictive procedure in which a participant is involuntarily confined in a room or area from which they are prevented from having contact with others or leaving by closing a door or using another barrier. This is prohibited.

P&P 2.02 Restrictive Procedures states these procedures may only be used for protection from imminent risk of serious harm to self or others, and may not be used in situations where there is no need for protection; only

the least restrictive procedures to adequately protect the participant and others from harm shall be used, and restrictive procedures must be terminated as soon as the need for protection is over and/or a lesser restrictive intervention be effective.

C. The following interventions are prohibited:
1. Seclusions;
2. Aversive procedures involving electric shock (excluding medically administered electroconvulsive therapy); corporal punishment or interventions that cause physical pain or harm to a participant; unpleasant tasting foodstuffs or stimuli; and use of any noxious substances for the purpose of reducing a behavior.
3. Restraints that are prone, supine, restrict circulation or ability to breathe and/or excessive pressure on chest, lungs, sternum, and diaphragm, cause pain or harm to the participant; restraint chairs or boards; any maneuver that involves punching, hitting, poking, or shoving the participant; straddling or sitting on the torso any technique that restrains a participant vertically against a wall or post face first; and head hold where the head is used as a lever to control movement of other body parts.
4. Interventions involving: verbal or demonstrative harm caused by oral or written language, gestures with disparaging or derogatory implications; psychological/mental/emotional harm caused by unreasonable confinement, intimidation, humiliation, harassment, threats of punishment or deprivation; denial of food or beverage as a consequence of behavior; disabling of or restriction of a communication device; placing a participant in a room with no light; overcorrection; and withholding or taking away money, incentives or activities previously earned.

Requirements concerning the use of alternative strategies to avoid the use of restraints:
DOH/DDD promotes positive behavioral supports, eliminating restrictive and adverse procedures, supporting participants to be fully integrated into the community and having meaningful lives. BSPs must have a hierarchical strategy of interventions that start with the least restrictive intervention possible and only in emergency situations of threat or harm to self or others. Service Supervisors and Staff who work directly with participants with identified behavioral challenges requiring a BSP must be trained in a nationally recognized training program approved by DOH/DDD. A component of the curriculum must include de-escalation and re-direction techniques to be utilized prior to a restraint. It must also include focusing on the participant’s needs, the physical environment to provide alternatives to escalating behaviors. Staff must be trained on the participant’s BSP containing individualized and specific techniques to safely resolve situations and minimize restraints.

Unauthorized or misapplication of restraints are detected through the following:
A. All defined restraints are reported through the Adverse Events Reporting (AER). All reports are monitored by the DOH/DDD for unauthorized use of restraints, seclusions, misapplication or abuse and may require corrective action;
B. Quarterly monitoring by DOH/DDD case managers who are required to meet with the participant, review recent events and observe their interactions with staff;
C. The complaint and grievance process identifies any violation of rights or unauthorized use of restraints;
D. Provider monitoring occurs at least every three years or annually for providers requiring corrective action plans or when any violations of standards are detected. Monitoring includes review of records and direct discussions with Waiver participants;
E. Annual on-site Certification Reviews of each adult foster home; and
F. Case review of sample of cases to detect unauthorized use of restraints by DOH/DDD Clinical Intervention Team (CIT), who provides recommendations to prevent the misuse of restraints.

Participants restrained frequently, injuries resulting from restraints and other events such as hospitalization, are referred to the Behavior Supports Review Committee (BSRC) per P&P 2.03. The BSRC reviews all aspects of care for the participant, recommends any additional assessments or information and advises on supports that could promote positive behavior. Current BSPs of participants receiving a PRN medication for the purpose of behavioral control are reviewed by the BSRC. All provider agencies must have an internal policy that includes the use of restraints in alignment with the State’s policy, the reporting of any use of restraints, and how unauthorized use or in application of restraints are detected and remediated.

The protocols that are followed when restraints are employed (including the circumstances when they are permitted and when they are not) and how their use is authorized:

DOH/DDD has a protocol for the use of restraints. Restraints may only be used when the following are in place:
- there is an imminent risk of harm to the participant or others;
- the professional writing the BSP possesses the required education and training;
- the participant and/or guardian (if applicable) has given informed consent to BSP;
- any staff involved in restraint must have documentation of being trained in PBS; the participant's BSP and a nationally recognized crisis intervention system approved by DOH/DDD;
- the participant's BSP outlines the hierarchy of least restrictive interventions, and are utilized and found to be ineffective prior to the use of restraint;
- the participant's BSP outlines the conditions that will indicate to staff that a restraint should be removed and a less restrictive intervention utilized;
- service supervisors trained in a nationally recognized crisis intervention system will facilitate debriefing of any use of restraint.

Restraints are not permitted when other less restrictive interventions would be effective; imminent risk of harm to self or others is no longer present; or as form of punishment.

The practices that are employed in the administration of a restraint to ensure health and safety:
Restraints are used only in emergency situations of imminent risk to self or others. The health and safety risk of the behavior must outweigh the risk of the restraint. The participant being restrained must be monitored throughout the use of restraint for health and safety. Monitoring includes continuous evaluation of the participant, including breathing, consciousness and effects such as pain; the participant's reaction to the restraint; the participant's behavioral condition; and, the need to terminate the restraints. Restraints are terminated immediately if there are any indications of health or safety risk and/or the earliest time safely possible.

Required documentation:
Providers shall maintain a record of the date, time, duration and antecedent of any restraint, evidence the provider first utilized positive and less restrictive interventions and that these interventions were not successful in deterring threat of harm. Records shall be shared with the case manager and participant's support team. Details will be communicated to DOH/DDD through the AER process.
Psychotropic PRN medications require the same documentation requirements as physical restraints and must also include documentation of the medication, dosage, behavior after administration, and side effects if present.
Education and training requirements that a provider agency personnel must meet who are involved in the administration of a restraint:
Providers must show documentation of staff having training in the participant's individual BSP; positive behavioral supports introduction and overview; and nationally recognized crisis intervention system approved by DOH/DDD.

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:

Both DHS/MQD and DOH/DDD are committed to ensuring that the use of restraints and seclusion are only used to protect the participant from immediate harm to self and others. DOH/DDD is responsible for overseeing the use of restraints by waiver service providers. Information on any incidence of seclusion or restraint is collected through the AER process. AER data on seclusion and restraints, including analysis of trends and patterns are reported quarterly by the DOH/DDD Outcomes and Compliance Branch to the BSRC. Recommendations for quality improvement are made to the DOH/DDD Quality Assurance and Improvement Program (QAIP) Safety and Well-being Subcommittee of the QAIP Steering Committee Recommendations address programmatic, policy and/or systemic recommendations.

Issues related to provider agency performance are referred by the DOH/DDD/OCB or the BSRC to the DOH/DDD Provider Monitoring Section. If the issue requires an improvement plan or immediate corrective actions, the provider monitoring section requests, tracks and evaluates the implementation of improvement activities by the provider agency for effectiveness and addressing any core performance issues.

On an annual basis, DOH/DDD Certification Unit provides comprehensive monitoring of DOH/DDD Adult Foster Homes (AFH) as part of its certification process. The certification process involves records and on-site review of each AFH. Any incidents of seclusion or unauthorized use of restraints are cited for non-compliance with standards and corrections must be made. If any reports are made to the Certification Unit outside of the annual on-site inspection, Certification Unit staff conducts an investigation, and acts on any non-compliant practices to include requiring corrective actions.

The BSRC reviews individual cases with the highest rates of restraints and provides technical and clinical advice. The BSRC will look at trends to assist in necessary improvement. AER data on restraints is gathered on an ongoing and continuous basis. The Branch Chief for the Outcomes and Compliance Branch receives all reports of serious issues, and can implement investigations, request information, or intervene immediately if serious violations of DOH/DDD's standards are detected. Aggregate data are analyzed and reported quarterly to the BSRC who reports to the Safety and Well-being Committee of the QAIP Steering Committee. The BSRC analyzes, reviews data and makes recommendations quarterly. The Community Resource Branch conducts continuous provider monitoring through in-person and/or remote reviews at least every three years or annually for providers requiring corrective action plans. As part of the monitoring review, the process includes a sample of records to identify any events, such as the use of restraints that were not reported as required. The provider must complete a corrective action plan (CAP) to address the participant-specific situation and revised policy, practice or other strategies the provider agency will employ to prevent further issues.

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.

First use of non-aversive methods:
The DOH/DDD promotes the concepts of positive behavioral support and is focused on eliminating restrictive and adverse procedures, supporting people we serve to be integrated into the community and living meaningful lives. A positive approach assumes that all behavior has a purpose and that participant's behavior can be to communicate a need or a manifestation of a medical or clinical issue such as trauma.

Behavior support plans (BSP) with restrictive interventions are written to be proactive and minimize the occurrence of challenging behaviors via a primary focus on the use of positive interventions. Restrictive interventions are used only after lesser restrictive interventions have been attempted first and found not effective. All restraints must be a part of a Behavior support plan with a hierarchical strategy of interventions starting with the least restrictive.

The following interventions are prohibited:
1. Seclusions;
2. Aversive procedures involving electric shock (excluding medically administered electroconvulsive therapy); corporal punishment or interventions that cause physical pain or harm to a participant; unpleasant tasting foodstuffs or stimuli; and use of any noxious substances for the purpose of reducing a behavior;
3. Restraints that are prone, supine, restrict circulation or ability to breathe and/or excessive pressure on chest, lungs, sternum, and diaphragm, cause pain or harm to the participant; restraint chairs or boards; any maneuver that involves punching, hitting, poking, or shoving the participant; straddling or sitting on the torso any technique that restrains a participant vertically against a wall or post face first; and head hold where the head is used as a lever to control movement of other body parts;
4. Interventions involving: verbal or demonstrative harm caused by oral or written language, gestures with disparaging or derogatory implications; psychological/mental/emotional harm caused by unreasonable confinement, intimidation, humiliation, harassment, threats of punishment or deprivation; denial of food or beverage as a consequence of behavior; disabling of or restriction of a communication device; placing a participant in a room with no light; overcorrection; and withholding or taking away money, incentives or activities previously earned.

Staff who provide services to participants whose treatment plans include restrictive intervention(s) are trained in a nationally recognized curricula approved by the DOH/DDD. A component of these curricula includes de-escalation and re-direction techniques to be used prior to a restraint as well as crisis management and intervention techniques. In addition, staff must be trained on the participant's behavioral support plan which focuses on utilizing non-aversive methods as a primary intervention.

Methods to detect the unauthorized use of restrictive interventions:
DOH/DDD employs multiple ways of detecting and addressing unauthorized use of restrictive interventions. All unauthorized restrictive interventions are reported and addressed through the AER process. Case managers monitor aversive methods in routine meetings with participant and report any suspected abuse or neglect. The BSRC reviews cases of people who have experienced injuries due to restrictive interventions and take referrals for people with behaviors that are difficult to manage. Unauthorized restrictive interventions may also be detected through the complaints and grievance process. Provider monitoring is another method to detect unauthorized use.

On an annual basis, DOH/DDD Certification Unit provides comprehensive monitoring of DOH/DDD Adult Foster Homes (AFH) as part of its certification process. The certification process involves records and on-site review of each AFH. Incidents of unauthorized use of restrictive interventions are cited for non-compliance with standards and corrections must be made. If any reports are made to the Certification Unit outside of the annual on-site inspection, Certification Unit staff conducts an investigation, and acts on any non-compliant practices to include requiring corrective actions.

Protocols for authorizing the use of restrictive interventions, including treatment planning requirements and review/reauthorization procedures:
All BSPs must follow guidelines on prohibitions of specified aversive methods and restrictive interventions. BSPs with specified restrictive interventions must have the informed consent of the participant, guardian (if applicable) and/or treatment team. BSPs are required to promote positive and proactive strategies to avoid restrictive procedures. Samples of BSPs are reviewed in provider monitoring for quality and compliance with

state policy. Any BSP that includes a restrictive intervention for waiver participants with identified behavioral challenges that required a BSP is reviewed by the BSRC.
Required documentation when restrictive interventions are used:
To assess the efficacy of BSPs that are being implemented, the documentation of behaviors, circumstances, restrictive interventions and effectiveness in addressing each incidence of targeted behaviors are needed. Adequate documentation is a key component of being able to monitor behaviors and evaluate efficacy of interventions for future BSP modification and improvement. BSPs should utilize documentation as a means of tracking progress and working toward the elimination of restrictive interventions for participants served by the DOH/DDD.

Education and Training:
Providers must show documentation of agency personnel having training in the following: the participant's individual BSP; Positive behavioral supports introduction and overview; and nationally accredited crisis intervention system approved by DOH/DDD.

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:

Information on any incidence of unauthorized restrictive interventions including restraints and seclusions are collected through the AER process. AER data on unauthorized restrictive interventions, including analysis of trends and patterns are reported quarterly by the DOH/DDD Outcomes and Compliance Branch (OCB) to the BSRC, which completes a quarterly report. Recommendations for quality improvement are made to the DOH/DDD Quality Assurance and Improvement Program (QAIP) Safety and Well-being Subcommittee of the QAIP Steering Committee Recommendations address programmatic, policy and/or systemic recommendations. BSRC, as a regularly reporter to through the QAIP process, and based on review of the data, develops performance measures related to the use of restraints as part of the QAIP Work Plan.

Issues related to provider agency performance are referred by the OCB or the BSRC to the DOH/DDD Provider Monitoring Section. If the issue requires an improvement plan or immediate corrective actions, the provider monitoring section requests, tracks and evaluates the implementation of improvement activities by the provider agency for effectiveness and addressing any core performance issues.

The BSRC reviews individual cases with the highest rates of unauthorized restrictive interventions including restraints and provides clinical recommendations. The BSRC will look at trends to assist in provider improvement and consultation with Training and Consultation to identify areas to address.

AER data on unauthorized restrictive interventions including restraints is gathered on an ongoing and continuous basis. The Branch Chief for the Outcomes and Compliance Branch receives all reports of serious issues, and can implement investigations, request information, or intervene immediately if serious violations of DOH/DDD's standards are detected. Aggregate data are analyzed and reported quarterly to the BSRC who reports to the Safety and Well-being Committee of the QAIP Steering Committee. The BSRC analyzes, reviews data and makes recommendations quarterly. Provider monitoring is conducted on a continuous monitoring basis, through in-person or remote reviews at least every three years or annually for providers requiring corrective action plans.

As part of the monitoring visit, the process includes a review of a sample of records to identify any events such as the use of restraints that were not reported as required. The provider must complete a corrective action plan (CAP) to address the participant-specific situation and revised policy, practice or other strategies the provider agency will employ to prevent further issues.

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:

DOH/DDD P&P # 2.02 Restrictive Procedures prohibits the use of seclusion. DOH/DDD is responsible for detecting the unauthorized use of seclusions and any use of seclusion is required to be reported as an AER. Incidents that are seclusions are coded as such to put an emphasis on detection and oversight of this prohibited practice. Seclusion can also be detected in provider monitoring. The BSRC will review cases where seclusion is occurring and provide clinical recommendations on alternative methods to implement for the purpose of discontinuing the use of seclusion.

Seclusions are detected through the following methods:
A. All seclusions are reported through the Adverse Events Reporting (AER) system. All reports are monitored by the DOH/DDD for unauthorized use of seclusions require corrective action;
B. Routine quarterly monitoring by DOH/DDD case managers who are required to meet with the participant, review recent events and observe their interactions with staff and others;
C. The complaint and grievance process identifies any violation of rights or unauthorized use of seclusions;
D. Provider monitoring of performance occurs at least every three years or annually for providers requiring a corrective action plan, and when any violations of standards are detected. Monitoring includes review of records, and direct discussions with Waiver participants;
E. On-site Certification Reviews of each adult foster home which is performed annually; and
F. Case review looking at a sample of cases to detect unauthorized use of seclusions by the DOH/DDD Clinical Intervention Team (CIT) who provides recommendations to case managers on alternative methods to prevent the use of seclusion.

○ **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.

For all individuals:

The DOH/DDD case manager, as part of their assessment/reassessment and monitoring responsibilities, reviews the individual's records in a certified or licensed setting when home visits are done. DOH/DDD policy is that the case managers are required to make at least one home visit annually.

For individuals receiving medications as part of waiver services, the waiver providers are responsible for ensuring staff and caregivers administer medications in accordance with the Waiver Provider Standards. In general, supervision, monitoring and oversight is done at the frequency specified in the ISP or on a monthly basis if not specified. Providers submit quarterly reports to the DOH/DDD case managers for ISP goals the provider is responsible to implement.

AERs identifying medication administration problems are submitted and reviewed by DOH/DDD and monitored by DHS/MQD. Follow- up actions are made as necessary, including increased monitoring and/or training requirements. If an immediate need is identified that the provider is unable to address, a DOH/DDD registered nurse will work with the provider, staff and caregivers, as applicable, to implement corrective actions and transition to the provider once the immediate issue has been resolved.

The DOH/DDD Clinical Interdisciplinary Team (CIT) is available to provide consultation and discuss issues and concerns about medications, including polypharmacy, chemical restraints, etc. All cases identified as potentially at risk, e.g., polypharmacy, psychotropic usage, challenging behaviors, will be brought forth for discussion.

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.

a) For certified and licensed residential settings, state staff are responsible for the reviews. DOH/DDD certifies and completes reviews of Adult Foster Homes (AFH) on an annual basis. DOH/Office of Health Care Assurance (OHCA) licenses and completes annual reviews of Developmental Disability Domiciliary Homes, Adult Residential Care Homes and Expanded Adult Residential Care Homes. Reviews include looking at the residential setting's records to ensure that participant medications are managed appropriately by the certified/licensed caregiver. As part of the review, the certifying or /licensing staff reviews the participant's home records, home operational practices regarding medications and health areas in terms of compliance with regulations, e.g., storage, physician's orders, administration, disposal of medications, including medical reports, medication errors, and medication administration flow sheets. If DOH/DDD staff identifies any problems or concerns, follow- up actions may include: 1) informing the case manager of such concerns and requesting assistance with follow-up of participant's physician, guardian (if applicable), etc.; 2) citation and requirement for plan of correction; 3) referral for DOH/DDD follow up.
If DOH/OHCA staff identifies any problems in its licensed homes, the home caregiver is issued a citation and requirement for plan of correction. The certifying/licensing staff will follow up on corrective actions taken and may pursue continued certification/licensure, probation, or termination of license or certificate.

b) AERs identifying those areas of potentially harmful practices are tracked to ascertain appropriate follow up action. This may include training, consultation sessions, sanctions, etc. Follow up of CIT reviews will also be done to ensure both appropriate follow up on individual situations and to identify system needs for training, consultation, or information sharing with community physicians.

c) Both DOH/DDD and DHS/MQD will collaborate on follow up and oversight. DHS/MQD is responsible for overseeing that critical events are reported and satisfactorily addressed and resolved. The oversight includes a review of quarterly AERs summary reports submitted by DOH/DDD as well as a detailed review of any AER involving a death and AERs in participants and/or providers for which a trend has been identified. Both DOH/DDD reviews and DHS/MQD oversight together comprise aggregation and analysis of 100% of AERs received. DOH/DDD will work on remediation with waiver providers and DHS/MQD will work with DOH/DDD on remediation and system(s) change(s).

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).

In accordance with Waiver Provider Standards, all waiver providers who assist with or administer medications during waiver service hours can only do so with an order from a practitioner with prescriptive authority and administered by a registered nurse or as part of a nurse delegation plan. The following are components of a nurse delegation plan:

a. The nurse delegation plan must be in the participant's record for any medication assistance or administration tasks performed during the waiver service hours with the exception of self-administered medications as defined below.

b. The nurse delegation plan must include the following for each medication:
1) Brand or generic (as applicable) name,
2) Identifying photo (if available),
3) Intended purpose,
4) Potential adverse effects,
5) Drug/food interactions,
6) General information on recommended dosages and the medication's effect, and
7) Instructions for monitoring the participant's response to the medication.

c. Staff assisting with and/or administering medications in any way must be trained by an RN. The RN must verify and document the staff's skills competency and provide a copy of the delegation plan in the participant folder.

d. The DSW, ResHab caregiver or consumer-directed employee must follow the procedures for Adverse Event Reporting (see Section 1.8 Adverse Event Reporting and Section 2.6 Provider Agency Quality Assurance), including medication errors and unexpected reactions to drugs or treatment.

e. Medications are managed efficiently and appropriately in accordance with applicable State laws.

Medication Self-Administration

The participant can demonstrate his or her ability to independently initiate the ingestion, inhalation, or injection of prescribed medications as evidenced by all the following. A participant may use words, signs, pictures, assistive devices or other means of communication to demonstrate the ability to self-administer medications.

a. Ability to identify the medication,
b. Ability to state the reason for taking the medication,
c. Ability to state the prescribed dosage,
d. Ability to state the scheduled time, and
e. Ability to take the medication as prescribed means:

1) the participant can physically take the medication without assistance or reminders from the worker. The participant is deemed to be able to self-administer the medication if he or she uses an assistive technology device for reminders to take the medication; or

2) the participant communicates the instructions to a worker using words, signs, pictures, assistive technology devices or other means of communication to accurately direct the worker to physically assist the participant with taking the medication.

Certification that the participant is independent in medication self-administration must be documented by a health care practitioner with prescriptive authority on an annual basis.

Medication Assistance

Medication assistance may be performed by a Provider agency DSW, ResHab caregiver or a consumer-directed employee under the delegation of an RN in accordance with HRS §457-7.5. Medication assistance includes, but is

not limited to, any of the following steps:

a. Placing the labeled container with the medication in the participant's hand,
b. Placing the "pill organizer" with medications pre-arranged by the hour, day, or week in the participant's hand,
c. Assisting the participant with opening the container and dropping the medication into the participant's hand when needed,
d. Instructing or prompting the participant to take the medication,
e. Assisting the participant to take the medication,
f. Helping the participant to drink a liquid to swallow the medication, or
g. Watching and observing the participant to ensure that the medication has been swallowed.

Medication Administration

Medication administration must be performed by an RN or an LPN under the supervision of an RN and or by a direct support worker under the delegation of an RN in accordance with HRS §457-7.5.

1. Documentation

a. All participants receiving medication during waiver service hours must have documentation of the medication in a Medication Administration Record (MAR) to be kept in the participant folder.

b. Documentation in the MAR includes the following:
1) Medication given as ordered,
2) Date and time,
3) Route, and
4) Initials of staff.

c. Documentation in the progress note includes a description of observation of the participant response to the medication.

d. Documentation for PRN medication includes:
1) Documentation of the verbal consultation with the name of the delegating RN,
2) Reason given, and
3) The outcome after medication was administered.

- **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:

All medication errors for waiver participants must be reported to DOH/DDD.

(b) Specify the types of medication errors that providers are required to *record:*

All medication errors – missed dose, wrong dose, wrong time, wrong medication, documentation errors, wrong route/method, not complying with physician's orders, adverse reactions to medications (over the counter and prescribed), unexpected reactions to drugs or treatment - must be reported as an adverse event to DOH/DDD.

(c) Specify the types of medication errors that providers must *report* to the state:

All medication errors and unexpected reactions to drugs or treatment.

○ **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:

- **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.

DOH/DDD staff review reports of medication errors and follow up as necessary on corrective action. Medication errors and unexpected reactions to drugs or treatment by the provider agencies are reported using the Adverse Event Report (AER) form. Data is collected and summarized on an ongoing basis to identify trends, remediation, and opportunities for system improvement, such as additional training for provider or a medical assessment for the participant or a change in DOH/DDD policy. DHS/MQD receives and reviews a summary of the AER reports on a quarterly basis.

DHS/MQD is responsible for overseeing that all adverse events, including all medication errors, are reported and are satisfactorily addressed and resolved. An overview of this oversight includes:

1) review of quarterly AER Summary Reports submitted by DOH/DDD, which is an aggregation and analysis of 100% of AERs received. DHS/MQD will notify DOH/DDD if further remediation, corrective action, or system improvement is needed;
2) detailed review of AER Reports for all deaths; and
3) detailed review of AER Reports for participants or providers that raise concerns based on monitoring trends.

All waiver providers are required to have an Internal Quality Improvement program that includes a process that provides for ongoing monitoring, quarterly assessment and trending of Adverse Events for appropriateness of action taken, follow-up and preventive actions to be taken.

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:
#/% of AERs with an appropriate immediate action by provider agency/CDPA/caregiver of licensed or certified home to safeguard participant as assessed by the DOH/DDD case manager N: # of AERs with an appropriate immediate action by provider agency/CDPA/caregiver of licensed or certified home to safeguard participant as assessed by the DOH/DDD case manager D: Total # of applicable AERs

Data Source (Select one):
Other
If 'Other' is selected, specify:
AER Summary Report

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

Data Aggregation and Analysis:

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

Performance Measure:
PM #/% of AERs initiated by the provider agency/CDPA and reported within required timeframe N: # of AERs initiated by the provider agency/CDPA reported within required timeframe D: Total # of applicable AERs submitted

Data Source (Select one):
Other
If 'Other' is selected, specify:
AER Summary Report

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☒ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% waiver participants (or families/legal guardians) who received information on how to report abuse, neglect, exploitation, and unexplained death N: # of waiver participants (or families/legal guardians) who received information on how to report abuse, neglect, exploitation, and unexplained death D: Total # of waiver participants (or families/legal guardians) in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review for Case Management Services

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**

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

Performance Measure:
#/% of deaths that required follow-up for which follow-up was completed N: # of deaths that required follow-up for which follow-up was completed D: Total # of deaths that required follow-up as determined by the DDD Mortality Review Committee

Data Source (Select one):
Other
If 'Other' is selected, specify:
AER Summary Report

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

	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☒ **Other** Specify: Semi-annually	

Data Aggregation and Analysis:

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

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:
#/% of AERs with a shared root cause where systemic intervention was implemented
N: # AERs with a shared root cause where systemic intervention was implemented D: Total # AERS with a shared root cause

Data Source (Select one):
Other
If 'Other' is selected, specify:
AER Report Summary

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

Data Aggregation and Analysis:

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

Performance Measure:
#/% of AERs with an appropriate plan of action, by the provider agency/CDPA/caregiver of licensed or certified home to prevent recurrence of adverse event as assessed by case manager N: # of AERs with an appropriate plan of action by the provider agency/CDPA/caregiver of licensed or certified home to prevent recurrence of adverse event as assessed by case manager D: Total # of applicable AERs

Data Source (Select one):
Other
If 'Other' is selected, specify:
AER Summary Report

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☒ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☐ **Representative Sample** Confidence Interval =

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

Data Aggregation and Analysis:

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

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:
#/% of provider agencies that have current/updated P&Ps for restrictive interventions and prohibitive restrictive interventions that align with state policy and definitions N: # of provider agencies that have current/updated P&Ps for restrictive interventions and prohibitive restrictive interventions that align with state policy and definitions D: Total # of provider agencies

Data Source (Select one):
Other
If 'Other' is selected, specify:
QA/QI Review of Hawaii's I/DD Waiver Providers

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

	Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Other** Specify:	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** 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:
#/% of participants that received an annual physical exam N: # of participants that received an annual physical exam D: Total # of records in sample

Data Source (Select one):
Other
If 'Other' is selected, specify:

Record review

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☒ **Operating Agency**	☐ **Monthly**	☒ **Less than 100% Review**
☐ **Sub-State Entity**	☒ **Quarterly**	☒ **Representative Sample** Confidence Interval = 95% confidence level with +/- 5% margin of error
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

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

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **Other** Specify:	☒ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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.

DOH/DDD is responsible for reviewing all adverse or critical event reports and ensuring that each adverse event is addressed and resolved appropriately. If remediation is needed, DOH/DDD confirms the completion and documentation of the remediation activities. For service provider agencies, remediation activities may include re-training of its staff and increasing the frequency of on-site quality reviews by DOH/DDD. On a quarterly basis, DOH/DDD submits the Adverse Events Reporting Summary Report to DHS/MQD which includes a summary of each adverse event report, the remediation activities and results of the performance measures listed in the previous section. This report is reviewed and analyzed by DHS/MQD to aid in identifying trends and need for systems improvement.

ii. Remediation Data Aggregation

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

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

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	☐ **Other** Specify:

c. Timelines

When the state does not have all elements of the quality improvement strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of 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)

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 DHS/MQD Quality Strategy was approved by CMS in State Fiscal Year 2011. It is a comprehensive strategy that includes the monitoring of Home and Community-Based Services and is the framework for monitoring of the waiver. The strategy describes implementation of a Quality Flow Process, which ensures reviewing of monitoring reports followed by immediate remediation, trending, prioritizing, and implementing system changes.

DHS/MQD receives and reviews all quarterly monitoring and quality reports from the DOH/DDD. Standardized reporting and review tools have been developed to allow for improved oversight and trending over time. Findings from the reports will be presented to the Quality Strategy Committee as the reports are received and reviewed according to a monitoring calendar. The Committee is comprised of representatives from the Quality Strategy Leadership Team, technical experts for the waiver, and the reviewer(s). The committee meetings represent a formal process for the analysis of data received, root causes, barriers, and improvement interventions. The Committee will recommend feedback to the DOH/DDD, and corrective action will be requested if needed. Findings and recommendations will be properly documented. The Leadership Team will also meet quarterly to review the findings and recommendations from the Committee, analyze trends, and set priorities, focusing on critical and high impact issues requiring system(s) change(s) that relate to meeting established goals and objectives. At least semi-annually and as needed, the Leadership Team will meet collaboratively with DOH/DDD. These Quality Collaboratives will allow opportunity of dialogue, feedback, follow-up of corrective actions, exchange of information, and identification of best practices.

ii. System Improvement Activities

Responsible Party*(check each that applies):*	**Frequency of Monitoring and Analysis***(check each that applies):*
☒ **State Medicaid Agency**	☐ **Weekly**
☒ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☒ **Quarterly**
☐ **Quality Improvement Committee**	☒ **Annually**
☐ **Other** Specify:	☐ **Other** Specify:

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.

DHS/MQD
A Quality Strategy Leadership Team meets regularly to review the findings and recommendations from Quality Strategy Committees. The Leadership Team will also meet collaboratively with DOH/DDD on a regular basis to allow for dialogue, feedback, and follow-up of corrective actions, performance improvement projects, exchange of information, and identification of best practices. System improvements will be identified and monitored as a result of these collaborative reviews of monitoring trends, results of remediation, and best practices. The following shows a summary of the Quality Strategy Oversight.

Summary of the Quality Strategy Oversight (entities, membership and responsibilities):

Entity: Quality Strategy Leadership Team (QSLT)
Membership:
- DHS/MQD leadership from several branches and offices;
- DHS/MQD Medical Director or Physician Designee; and
- External Quality Review Organization (EQRO) consultant as needed.
Responsibilities:
- lead the development, review, and revision of Quality Strategy;
- oversight for review of quality data and monitoring reports;
- oversight for quality improvement recommendations and implementation of these recommendations by the waiver program;
- meets quarterly and more often as needed; and
- meets semi-annually in Collaboratives with the waiver program.

Entity: Quality Strategy Committees (QSC)
Membership:
- QSLT representative;
- DHS/MQD technical expert(s) in the waiver; and
- DHS/MQD HCBS reviewer(s)
Responsibilities:
- committees include the waiver committee;
- review of quality data and monitoring reports from the waiver program;
- recommendations for corrective actions, quality improvement, and system changes;
- follow-up of corrective actions and quality improvement recommendations; and
- meets in a monthly rotation.

Entity: Quality Collaboratives
Membership:
- QSLT representative(s);
- DHS/MQD technical expert(s);
- DOH/DDD Waiver program representative(s); and
- EQRO consultant if needed.
Responsibilities:
- serves as forum between DHS/MQD and the waiver program for dialogue, feedback, follow-up of corrective action, performance improvement projects (PIPs), and best practices; and
- meets semi-annually.

DOH/DDD
DOH/DDD operates a Quality Assurance and Improvement Program (QAIP) to ensure the systematic monitoring of services and supporting service infrastructure. DDD Policy and Procedure 3.01 describes the QAIP process. The QAIP operates through a written program description, work plan with performance measures, and a committee structure. The QAIP is evaluated annually, which informs the following year's program description and work plan. The QAIP Steering Committee oversees the implementation of the QAIP and is co-chaired by the DOH/DDD Medical Director and Outcomes and Compliance Branch Chief. Three subcommittees meet on a quarterly basis to review reports and data, and make recommendations for improvement: the Quality Services and Care Subcommittee, the Service Provision and Access Subcommittee, and the Safety and Well-being Subcommittee. Key QAIP committees operate under the Subcommittee structure, including the Mortality Review Committee that reviews unexpected deaths and makes recommendations for system improvement based on

patterns and trends to the Safety and Well-being Subcommittee. Performance measures are evaluated on an annual basis. The DOH/DDD Management Team provides approval of recommendations from the QAIP Steering Committee and can assign Improvement Teams to design programmatic quality improvements. DOH/DDD also operates several standing committees including the Utilization Review Committee (URC) that reviews appropriate use of services and makes recommendations for adjustment, approval, or denial of services, and the Clinical Interdisciplinary Team (CIT) that reviews and makes recommendations regarding clinical issues. DOH/DDD, with representation from DHS/MQD, conducts regular quarterly meetings with the Waiver Policy Advisory Committee (PAC). This group includes participants, families, providers, DD Council, Hawaii Disability Rights Coalition, the Center for Disability Studies at the University of Hawaii-Manoa and DOH/DDD staff. Any changes to the waiver, including changes related to quality monitoring, are discussed in these stakeholder meetings. In addition, DHS/MQD maintains a website that will hold information about the waiver program, including performance on quality monitoring.

ii. Describe the process to periodically evaluate, as appropriate, the quality improvement strategy.

DHS/MQD
The Quality Strategy is a dynamic system, which both DHS/MQD and DOH/DDD continual review to assess the effectiveness of the waiver monitoring. The Quality Strategy, including DOH/DDD monitoring, will be reviewed at least annually by the Quality Strategy Leadership Team and revised, if necessary. However, the Quality Strategy Committees may suggest changes to the Leadership Team throughout the year that will be reviewed to identify whether a suggested change necessitates a review and revision of the Quality Strategy sooner than the appointed time. At each review and revision of the strategy, the Leadership Team will determine whether the changes made to the Quality Strategy are significant enough to require additional stakeholder input and a public comment period. Significant changes are changes that may impact quality activities and/or threaten the potential effectiveness of the Quality Strategy. At least once every five (5) years, unless significant changes dictate a sooner timeframe, a 30-day public comment period will be made available.

The Quality Strategy is reviewed with criteria such as: a) ongoing validity of data; b) extent to which the discovery data is actionable; c) efficiency of data collection; d) utility and frequency of monitoring reports; e) utility of remediation efforts; and f) need for addition of other measures and data gathering methods based on identified trends and priorities.

The Quality Strategy is also reviewed to ensure that system(s) change(s), e.g. policy changes, training, technical assistance, etc. are effective. The Quality Committees and Leadership Team will regularly review and assess system(s) change(s) to ensure implementation and effectiveness in the light of measurement trends. DHS/MQD and DOH/DDD discuss the implementation and effectiveness of system(s) change(s) in regular Collaborative meetings.

A Work Plan is written annually to supplement the Quality Strategy during the annual review and revision process. Part of the Work Plan includes a specific section on any revisions to waiver monitoring. The development of the Work Plan specific to waiver monitoring begins with an assessment of accomplishments and challenges from the previous year's Work Plan and summary analyses/input from the Quality Strategy Committee's review of monitoring reports. The Work Plan development also incorporates input from other sources such as the DOH/DDD, the Waiver PAC, the managed care health plans, participants, providers, partner government agencies, and stakeholders. The Work Plan will clearly document the effectiveness of the Quality Strategy by summarizing successes and challenges as well as interim performance results. The Work Plan also outlines areas of focus for quality activities, such as quality improvement measures, improvement projects, and performance indicators.

DOH/DDD
The Quality Improvement Strategy is reviewed by the QAIP Steering Committee on an annual basis and revised based upon analysis of results by the Quality Sub-Committees. On an ongoing basis, the Steering Committee reviews performance on waiver measures, evaluates progress, and recommends improvement actions to the DDD Management Team. The QAIP Steering Committee and DDD Management Team monitors the implementation of improvement activities and evaluates the effectiveness of the system interventions designed to improve the overall quality of services and supports to participants through remeasurement and evaluation.

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) There are no state requirements for individual waiver providers to complete independent audits.

b) The waiver's financial audit program uses on-site reviews and/or desk audits of records to ensure the integrity of provider billings. Desk audits may be conducted if determined appropriate and does not compromise the integrity of the review. On-site reviews may be utilized as deemed necessary to ensure proper billing is in accordance with the approved reimbursement methodology.

- Scope of the review: For each provider, the DOH/DDD Fiscal Section or designee selects a statistically valid random sample of the participants served during a one-year period. The state's methodology uses a statistically representative sample with at least 95% confidence level and 5% margin of error. This has been clarified in the performance measure in Appendix I QIS.

- Method of reviewing paid claims: For the participants selected for review, the DOH/DDD Fiscal Section or designee reviews the ISP to ensure the services were authorized (service level and number of units) prior to providing services, provider documentation (e.g., service records, attendance logs, timesheets) supports the services billed, and compares the paid claims information (from HPMMIS, the Medicaid MMIS) against the authorized services. The DOH/DDD Fiscal Section or designee verifies that the service code/modifier(s) and units billed and payment match the authorizations.

- Methods for addressing findings: If the DOH/DDD Fiscal Section or designee identifies discrepancies in the provider's documentation compared with the ISP(s) and paid claims, DOH/DDD may require the provider to develop and implement corrective action plans if the fiscal audit was considered not compliant. If the DOH/DDD Fiscal Section or designee identifies unsubstantiated or erroneous billings, a recoupment notification letter is sent to the provider seeking recovery of the overpayment. The DOH/DDD Fiscal Section or designee sends a copy of the recoupment notification letter to the DHS/MQD fiscal agent regarding the provider agency's audit findings. The DHS/MQD fiscal agent will then reduce the inappropriate payment amount stated in the recoupment notification letter from the provider agency's future Medicaid payments. Upon recoupment from the provider, the recoupment is then reversed from the FFP calculation.

- Frequency of the review: The DOH/DDD Fiscal Section or designee conducts a fiscal audit on all waiver providers at least annually.

- Method of reviewing personal care services in accordance with section 12006 of the 21st Century CURES Act: DHS/MQD and the Arizona Health Care Cost Containment System (AHCCCS) has contracted with a state approved vendor for electronic visit verification (EVV). The two state Medicaid agencies endeavored on the joint procurement because AHCCCS supports the information technology infrastructure for Hawaii. DHS/MQD and AHCCCS have implemented EVV for all personal care services and home health care services to comply with requirements in accordance with section 12006 of the 21st Century CURES Act.

DHS/MQD and AHCCCS engage frequently with stakeholders to ensure access to EVV information related to the CURES Act requirements, program goals, applicable service codes and provider types, state model and funding structure, and timeline of implementation activities. Additional resources are available on the DHS/MQD and AHCCCS websites.

Personal care services that require EVV include Chore, Personal Assistance/Habilitation (PAB), Personal Care Assistance (PCA), Respite, and Private Duty Nursing. Visit data is captured through a combination of telephonic verification, verification through a fixed device in the home and a GPS-enabled mobile device.

Hawaii's EVV system permits manual edits of visits prior to electronic verification, when there is a need to manually submit service information to enter or correct a visit. All claims are subject to electronic verification, with no exceptions, to process payment of the claim. DOH/DDD conducts monthly monitoring of manual edits to identify providers or Consumer-Directed employers who are manually editing above the benchmark of 15% of the visits in the month. A progressive set of actions is implemented based on performance over time, which includes: issue a warning letter that manual edits above the benchmark; require a corrective action plan (CAP) for continued non-compliance; and prepayment review of claims.

c) As required by the Single Audit Act, the State of Hawaii Office of the Auditor is responsible for conducting the periodic independent audits of the Department of Human Services, which includes all Medicaid programs.

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:
#/% of waiver participants who received authorized services and those services are delivered, coded, and paid for in accordance with reimbursement methodology specified in approved waiver N: # of waiver participants who received services that were delivered, coded and paid for in accordance with reimbursement methodology specified in approved waiver D: Total # of participants in sample

Data Source *(Select one):*
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	***Frequency of data collection/generation*** *(check each that applies):*	***Sampling Approach****(check each that applies):*
☐ ***State Medicaid Agency***	☐ ***Weekly***	☐ ***100% Review***
☒ ***Operating Agency***	☐ ***Monthly***	☒ ***Less than 100% Review***
☐ ***Sub-State Entity***	☒ ***Quarterly***	☒ ***Representative Sample*** *Confidence Interval =* *95% confidence level with +/- 5% margin of error*
☐ ***Other*** *Specify:*	☐ ***Annually***	☐ ***Stratified*** *Describe Group:*

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

Data Aggregation and Analysis:

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

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:
#/% of claims paid that are consistent with the established rate methodology N: # of claims paid that are consistent with the established rate methodology D: Total # of claims submitted

Data Source *(Select one):*
Other
If 'Other' is selected, specify:
Conduent report

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

Data Aggregation and Analysis:

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

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.*

DHS/MQD identifies individual problems through quarterly reports received from its fiscal agent and DOH/DDD. For claims not paid in a timely manner or claims paid in error, DHS/MQD may provide technical assistance to the fiscal agent to improve the processing of claims. In addition, DHS/MQD may provide training to DOH/DDD as needed to assure that financial processes are managed correctly.

ii. Remediation Data Aggregation

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

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

Responsible Party*(check each that applies):*	***Frequency of data aggregation and analysis*** *(check each that applies):*
	☐ ***Other*** *Specify:*

c. Timelines

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

◉ ***No***

○ ***Yes***

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

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

a. Rate Determination Methods. *In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).*

Rate determination and oversight is a joint responsibility between the Department of Health's Developmental Disabilities Division (DOH/DDD) and the Department of Human Services' Med-QUEST Division (DHS/MQD).

Waiver services are reimbursed on a fee-for-service basis, with the exceptions noted below, primarily for items and services that are manually priced and procured through the State Procurement methods. Rates are made available to waiver participants on request. The waiver rate schedule is available on DOH/DDD's website https://health.hawaii.gov/ddd/

Rates for shared services – Residential Habilitation, Adult Day Health, and Community Learning Service-Group – are tiered with higher rates paid for services provided to individuals with more significant needs to account for more intensive staffing expectations. The State uses the Supports Intensity Scale (SIS) to assign individuals to one of seven levels using assessment criteria employed in several other states. These seven assessment levels are grouped into three rate categories.

Payment rates for services delivered outside of Oahu are higher to account for lower service volumes as well as greater travel-related expenses in terms of both mileage and staff time.

The rate schedule was developed based on a rate study conducted in 2024 by the Burns & Associates division of Health Management Associates (HMA-Burns), a national consultant experienced in developing provider reimbursement rates for HCBS waivers.

The rate study included:
-A series of meetings with a Provider Advisory Group. The group was comprised of a diverse cross-section of providers in terms of services delivered, size, and location. The group was convened at key milestones in the study, including development of a draft provider survey and consideration of survey results.
-Development and administration of a provider survey related to service design and costs. All providers were sent the survey and given an opportunity to participate. HMA-Burns provided technical assistance throughout the survey period, including drafting detailed instructions for completing the survey, recording and posting online a webinar to walk-through the survey, responding to questions via phone calls and emails, reviewing each submitted survey and working with providers to resolve potential errors.
-Identification of benchmark data, such as cross-industry wage data from the Bureau of Labor Statistics (BLS). The BLS The BLS data is adjusted to account for increases in the state's minimum wage based on a formula that accounts for both spillover effects (meaning that a minimum wage increase affects lower-wage workers who already earn somewhat more than the minimum) and compression effects (meaning that, as the minimum wage increases, there will be less variation in wages at the low end of the distribution). This formula ensures that direct support professionals continue to receive a premium in comparison to the state minimum wage.
-Development of rate models for each service that include specific assumptions related to the various costs associated with delivering each service, including direct care worker wages, benefits, and 'productivity' (i.e., billable time); staffing ratios; mileage; facility expenses; and agency program support and administration. Rates do not vary based on the provider. Development of rate models for participant-directed services followed the same approach although individual assumptions may differ (for example, the participant-directed rate models include lesser amounts for employee benefits and do not include agency overhead costs) and the rates are based on an allowable range of wages the employer can pay the employee.
-A public comment process through which proposed rate models were emailed to providers and other stakeholders, and posted online. Interested parties were given several weeks to submit written comments. DDD prepared written responses to all comments received and revised the rates as appropriate. In addition to the public comment process that was part of the rate study described above, interested parties could comment on rate methodologies as part of the public input processes described in Main Section 6-I.

Rate models were developed for all waiver services with a few exceptions.

For services provided by licensed behavior analysts and registered behavior technicians, the State benchmarked the rates against those developed as part of a rate study overseen by Med-QUEST for similar services delivered through the Medicaid State Plan with an adjustment to account for lower productivity for staff delivering waiver services in the community.

Personal Emergency Response Systems (PERS) has established rates based on the market costs for the installation and

monthly monitoring services.

Assistive Technology (AT), Environmental Accessibility Adaptations (EAA), Specialized Medical Equipment and Supplies (SMES), and Vehicle Modifications (VM) are purchased following State of Hawaii procurement rules. These services are reimbursed through manual pricing, up to the limits specified in the service description.

VM is procured through a procurement exemption submitted for approval to the State Procurement Office, Restrictive Purchase of Service, pursuant to §103F-403, HRS and Chapter 3-144. DOH/DDD enters into a contract with the vendor to conduct multiple VMs.

Waiver Emergency Services are subject to a cost settlement process. Interim rates are established based on historic cost data submitted to DOH/DDD. At the conclusion of the fiscal year, the provider is required to submit detailed spending figures using a format prescribed by DOH/DDD. Approved allowable expenses are compared to the interim payments, which is the basis for a final payment or recoupment.

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:*

Services, regardless of payment processing, are prior authorized by the DOH/DDD case managers.

1) Agency Provided Services
Waiver services are prior authorized by the DOH/DDD case managers and forwarded to the DHS/MQD fiscal agent. Waiver agency providers' claims processing/payment follows the DHS/MQD's Medicaid Fee-For-Service process. The DHS/MQD fiscal agent enters the authorizations into HPMMIS, the State's MMIS. Providers render the services and send their claims for the services to the DHS/MQD fiscal agent for processing. Providers have the option of submitting claims electronically or manually on a CMS 1500 form. The DHS/MQD fiscal agent provides an electronic HIPAA-compliant interface that enables providers to send claims electronically. If the providers want to file manual claims, the claims are sent to the DHS/MQD fiscal agent's office located on Oahu for processing. HPMMIS adjudicates claims on a daily basis and processes payments on a weekly basis. Checks are generated at the end of each week. Providers have the option of receiving their payment electronically (deposited directly into the provider's bank account) or by mail. Providers also have the option to receive their remittance advices electronically or by mail. Provider checks and the corresponding remittance advice are sent separately. Prior to the checks being generated, the DHS/MQD fiscal agent will notify DHS/MQD of the funds required for the week's payment. DHS/MQD bills DOH/DDD for the required State funds portion on a weekly basis.

2) Consumer Directed Option
The flow of billings for the CD option has the contracted FMS entity submitting claims as a provider agency following the State's Medicaid Fee-For-Service- process. Based on the Individualized Service Plan (ISP), all waiver services to be delivered through the CD option must be documented in the ISP. Service authorizations are subsequently generated prior to service delivery by DOH/DDD case managers and forwarded to the DHS/MQD fiscal agent. The DHS/MQD fiscal agent enters the service authorizations into HPMMIS, the State's MMIS and issues a Prior Authorization to the FMS. The Prior Authorization serves as a budget for the CD employer to structure a participant's services and exercise budget authority. Services are rendered by CD employees under the supervision of the CD employer and the FMS entity functions as the fiscal/employer agent and covers payroll costs including applicable employer taxes. The FMS entity sends claims for the rendered services to the DHS/MQD fiscal agent for processing to recoup the actual cost of employee wages and employer taxes.
As with provider agencies, the FMS entity has the option of submitting claims electronically or manually on a CMS 1500 form. The DHS/MQD fiscal agent provides an electronic HIPAA-compliant interface that enables the FMS entity to send claims electronically. If the FMS entity wants to file manual claims, the claims are sent to the DHS/MQD fiscal agent's office located on Oahu for processing. HPMMIS adjudicates claims on a daily basis and processes payments on a weekly basis. Prior to the checks being generated, the DHS/MQD fiscal agent will notify DHS/MQD of the funds required for the week's payment. DHS/MQD bills DOH/DDD for the required State funds portion on a weekly waiver basis. Checks are generated at the end of each week. The FMS entity has the option of receiving payment electronically (deposited directly into the provider's bank account) or by mail. It also has the option to receive the remittance advices electronically or by mail with the check.

3) AT, EAA, SMES and VM:
When the service is delivered by an enrolled waiver provider (enrolled means has a signed Medicaid Provider Agreement with DHS/MQD), the flow of billing described in 1) Agency Provided Service is followed.

When the service is delivered by a supplier or vendor that is not an enrolled waiver provider, an invoice is processed after the work is completed through the DOH/DDD Fiscal Office in compliance with the Hawaii Department of Accounting and General Services (DAGS) policies and procedures. DAGS mails the check to the vendor. The DOH/DDD Fiscal Office then works with DHS/MQD for reimbursement of the FFP.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

c. Certifying Public Expenditures *(select one):*

- (●) ***No. state or local government agencies do not certify expenditures for waiver services.***
- ( ) ***Yes. state or local government agencies directly expend funds for part or all of the cost of waiver services and certify their state government expenditures (CPE) in lieu of billing that amount to Medicaid.***

Select at least one:

☐ ***Certified Public Expenditures (CPE) of State Public Agencies.***

Specify: (a) the state government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR § 433.51(b).(Indicate source of revenue for CPEs in Item I-4-a.)

☐ ***Certified Public Expenditures (CPE) of Local Government Agencies.***

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR § 433.51(b). (Indicate source of revenue for CPEs in Item I-4-b.)

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

d. Billing Validation Process. *Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:*

All services are identified in the participant's Individualized Service Plan (ISP); the DOH/DDD case manager authorizes before services are delivered, except for service needs to address a participant's immediate health and safety needs, hospitalization, or imminent risk of more restrictive placement; and enter the authorized services into a calculator that is uploaded to reference table (procedure codes, modifiers, and payment rates) to the DHS/MQD fiscal agent.

a) Edits are in place to ensure that claims for payment are made only when the participant is eligible for Medicaid waiver payment on the date of service. The following describes the different claim methodologies.

1) Agency Provided Services
The DHS/MQD fiscal agent processes all provider agency claims. HPMMIS contains individual Medicaid eligibility information, reference tables of approved waiver services, (procedure codes, modifiers and payment rates), prior authorizations, and qualified provider information. All claims are adjudicated according to edit checks, e.g., participant is Medicaid eligible and "enrolled" in the waiver at the time of service. Based on system rules, HPMMIS denies claims that fail the edit checks, e.g., claim for a participant not Medicaid eligible on the date of service. HPMMIS generates paid claims reports to validate the claims for Federal reimbursement.

2) Consumer-Directed Option
The FMS contracted entity serves as the fiscal employer agent for the Consumer-Directed (CD) option and submits claims as a provider to the DHS/MQD fiscal agent to be processed. HPMMIS contains individual Medicaid eligibility information, reference tables of approved CD waiver services, (procedure codes, modifiers and payment rates), prior authorizations, and qualified provider information. All claims are adjudicated according to edit checks, e.g., participant is Medicaid eligible, enrolled in the waiver at the time of service, and claims do not exceed the prior authorization. Based on system rules, HPMMIS denies claims that fail the edit checks, e.g., claim for a participant not Medicaid eligible on the date of service. HPMMIS generates paid claims reports to validate the claims for Federal reimbursement.

3) AT, EAA, SMES, and VM:

a) If the provider is a Medicaid waiver provider, the provider submits a claim through the DHS/MQD fiscal agent for payment once the item is delivered or work is completed. The same edits are in place as described in 1) Agency Provided Services.

b) Edits are in place to ensure that claims for payment are made only when the service was included in the participant's approved service plan through a check against the authorization in the system, including service dates within the authorization period and using the authorized procedure codes. Claims are priced using the rates in HPMMIS. If there is no authorization, the claim will be denied.

c) The following processes are in place to verify that claims are paid only when services are provided.

i. Given the robust and proactive claim validation process, all claims that are adjudicated are generally considered appropriate for FFP calculations. In rare instances, a post-adjudication adjustment or void may be necessary for claims that meet criteria that would further preclude FFP. For instance, cases of fraud or abuse, or examples where a provider-preventable condition was found to be associated with a paid claim. In these instances, the system is designed to allow for reversal of payments to providers to ensure that no inappropriately billed claims are included in the FFP calculations. Upon reversal of payment to the provider, the payment is then also reversed from the FFP calculation.

ii. EVV services: Chore, PAB, PCA, Respite, and Private Duty Nursing.
EVV services are delivered by provider agencies and through the Consumer-Directed option. In addition to the edits described in 1) Agency Provided Services and 2) Consumer-Directed-Personal Assistance option, edits are in place to ensure that claims for payment for EVV services meet the following criteria:

- The provider in the EVV visit record is approved for the participant and matches the one in the claim/encounter submission;
- The visit procedure codes match those in the EVV record;
- The visit procedure codes in the record are approved for the participant; and
- The number of units charged for a participant does not exceed the participant's total number of authorized units.

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:

a) The only waiver services that are not paid through an approved MMIS are AT, EAA, SMES, and VM when the service is delivered by a supplier or vendor that is not an enrolled Medicaid provider,

b) Process: If the supplier or vendor is not a waiver provider, reimbursement is processed after the work is completed. The DOH/DDD case manager checks that the participant was eligible for Medicaid on the date of service, the service is authorized in the Individualized Service Plan (ISP) and in the case management system (INSPIRE), and the amount is within the prior authorized amount. Once those are confirmed, the DOH/DDD Fiscal Office processes the invoice for payment in compliance with the DAGS policies and procedures. DAGS mails the check to the vendor.

c) Audit Trail: Payment for these items is made by the DOH/DDD with 100% State funds. DOH/DDD sends proof of payment to DHS/MQD to support the FFP reimbursement. After verifying the payment, DHS/MQD transfers the FFP to DOH/DDD.

The following identifies the steps taken to substantiate payment:

1) The DOH/DDD case manager authorizes services in the participant's ISP based on the amount of the award in accordance with state procurement procedures. The case manager obtains signature from the participant or legal representative approving the ISP. The case manager obtains signature from the vendor or supplier accepting the award and agreeing to perform the work. The vendor or supplier then receives electronic notification of the authorized service and amount,

2) After rendering the services, the supplier or vendor takes photographs of the completed work or item in the home and obtains a signature from the participant or legal representative affirming that the service was delivered satisfactorily. The vendor or supplier submits the invoice for payment to DOH/DDD with the photographs and signature. The DOH/DDD case manager confirms that the participant was satisfied with the service, was Medicaid eligible at the time the service was delivered, and the invoice is within the prior authorized amount.

3) Once all have been verified, the invoice is deemed to be payable. The DOH/DDD Fiscal Office processes the invoice for payment following the authorized DAGS policies and procedures. DAGS will prepare and mail the check directly to the vendor or supplier.

4) The DOH/DDD Fiscal Office generates a Bill for Collection and submits to DHS/MQD. The supporting documents (service authorization, invoice and purchase order) as proof of payment with 100% State funds are maintained with the DOH/DDD Fiscal Office and are available for DHS/MQD review.

5) DOH/DDD Fiscal Office sends a Bill for Collection to DHS/MQD for the FFP for all transactions for the above-named services when delivered by a vendor or supplier that is not an enrolled waiver provider.

d) Basis for draw and claiming:
1) Payment to DOH/DDD is based on submission of a Bill for Collection by services which is based on the quarterly summary submitted by DOH/DDD as follows:
- reimbursement shall be allowed on invoices deemed payable;
- reimbursement shall be journal vouchered to DOH/DDD;
- reimbursement shall be determined on the fee that is notated on the paid invoices per supporting documentation submitted with the Bill for Collection.

2) Any services or work denied by DHS/MQD are returned to DOH/DDD for resolution.

○ ***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.

The I/DD Waiver includes three supplemental payments intended to improve service quality and increase access to cost-effective but underutilized services.

1. Supplemental Payments for Expanding Adult Foster Home Capacity on the Neighbor Islands

The state will make a supplemental payment to Residential Habilitation (ResHab) agencies when they successfully place a member in a newly certified adult foster home (a home that has not been certified within the past six months) located outside of Oahu. These payments are intended to expand residential options for members residing on the neighbor islands.

ResHab providers will be paid $5,000 upon a successful and stable placement in a newly certified adult foster home. Providers will be able to bill once the member has been supported in the home for 120 days. If a second placement is made within a newly certified adult foster home, the ResHab provider will be paid an additional $2,500. Providers are only eligible for the second payment if the first placement is maintained (that is, a second payment will not be made if the first placement has moved out of the home).

The non-federal share of the supplemental payments comes from legislative appropriations of state general funds. Providers retain 100 percent of the total payment.

2. Supplemental Payments for Placements into Competitive Integrated Employment

The state will make a supplemental payment to Individual Employment Supports agencies when they successfully place and maintain a member in a new job in a competitive integrated setting.
These payments are intended to increase the number of members who work.

Employment providers will be paid $5,000 upon a successful and stable placement in a new job. Providers will be able to bill once the member has remained employed for 90 days. An agency can receive no more than two supplemental payments for a member within that individual's plan year.

The non-federal share of the supplemental payments comes from legislative appropriations of state general funds. Providers retain 100 percent of the total payment.

3. Supplemental Payments for Certified Direct Support Professionals

The state will make supplemental payments to agencies who have achieved a level 1 certification from the National Alliance for Direct Support Professionals (NADSP). These payments are intended to increase the quality of services and to improve staff recruitment and retention.

Providers of services delivered by direct support professionals will receive quarterly payments of $1,250 for each certified DSP they employed at the end of the quarter (payments will be prorated for part-time staff). These payments are ongoing; providers can continue to receive the quarterly payment for as long as the DSP remains with their agency and maintains the certification. Providers must be in good standing with no current adverse action imposed by the Department of Human Services (DHS), including license probation, revocation, or suspension.

The non-federal share of the supplemental payments comes from legislative appropriations of state general funds. Providers retain 100 percent of the total payment.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

d. Payments to state or Local Government Providers. *Specify whether state or local government providers receive payment for the provision of waiver services.*

- (●) ***No. State or local government providers do not receive payment for waiver services.*** *Do not complete Item I-3-e.*
- ( ) ***Yes. State or local government providers receive payment for waiver services.*** *Complete Item I-3-e.*

Specify the types of state or local government providers that receive payment for waiver services and the services that the state or local government providers furnish:

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. Amount of Payment to State or Local Government Providers.

Specify whether any state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the state recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. Select one:

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

- ( ) ***The amount paid to state or local government providers is the same as the amount paid to private providers of the same service.***
- ( ) ***The amount paid to state or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.***
- ( ) ***The amount paid to state or local government providers differs from the amount paid to private providers of the same service. When a state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the state recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.***

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. *Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. Select one:*

- (●) ***Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.***
- ( ) ***Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.***

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the state.

Appendix I: Financial Accountability

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:

a) DOH/DDD
b) The funds for the non-Federal share of the waiver services are appropriated to DOH/DDD through State tax revenues. After DOH/DDD receives the Bill for Collection from DHS/MQD for the non-Federal share of the Waiver services, DOH/DDD transfers the non-Federal share to DHS/MQD via IGT.

☐ ***Other State Level Source(s) of Funds.***

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs. *Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. Select One:*

- (●) ***Not Applicable****. There are no local government level sources of funds utilized as the non-federal share.*
- ( ) ***Applicable***

Check each that applies:

- [ ] ***Appropriation of Local Government Revenues.***

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

- [ ] ***Other Local Government Level Source(s) of Funds.***

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the state Medicaid agency or fiscal agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. Information Concerning Certain Sources of Funds. *Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. Select one:*

- (●) ***None of the specified sources of funds contribute to the non-federal share of computable waiver costs***
- ( ) ***The following source(s) are used***

Check each that applies:

- [ ] ***Health care-related taxes or fees***
- [ ] ***Provider-related donations***
- [ ] ***Federal funds***

For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

I-5: Exclusion of Medicaid Payment for Room and Board

a. Services Furnished in Residential Settings. *Select one:*

- ○ ***No services under this waiver are furnished in residential settings other than the private residence of the individual.***
- ◉ ***As specified in Appendix C, the state furnishes waiver services in residential settings other than the personal home of the individual.***

b. Method for Excluding the Cost of Room and Board Furnished in Residential Settings. *The following describes the methodology that the state uses to exclude Medicaid payment for room and board in residential settings:*

SSI payments are used for room and board costs in adult foster homes, DD domiciliary homes, adult residential care homes, and expanded adult residential care homes.

All services rates that are billed by providers exclude room and board costs. The fiscal agent will only pay the rates that are loaded into HPMMIS and cannot override the rates to allow for any room or board costs.

When a participant receives respite, the participant's pro-rated SSI room and board costs that are normally paid by the participant to the routine caregiver are paid to the respite caregiver.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

- ◉ ***No. The state does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.***
- ○ ***Yes. Per 42 CFR § 441.310(a)(2)(ii), the state will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The state describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.***

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

a. Co-Payment Requirements. *Specify whether the state imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. Select one:*

- ◉ ***No. The state does not impose a co-payment or similar charge upon participants for waiver services.***
- ○ ***Yes. The state imposes a co-payment or similar charge upon participants for one or more waiver services.***

i. Co-Pay Arrangement.

Specify the types of co-pay arrangements that are imposed on waiver participants (check each that applies):

Charges Associated with the Provision of Waiver Services *(if any are checked, complete Items I-7-a-ii through I-7-a-iv):*

☐ ***Nominal deductible***

☐ ***Coinsurance***

☐ ***Co-Payment***

☐ ***Other charge***

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

a. Co-Payment Requirements.

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

a. Co-Payment Requirements.

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

b. Other State Requirement for Cost Sharing. *Specify whether the state imposes a premium, enrollment fee or similar cost sharing on waiver participants. Select one:*

◉ ***No. The state does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.***

○ ***Yes. The state imposes a premium, enrollment fee or similar cost-sharing arrangement.***

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the

collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. *Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.*

Level(s) of Care: ICF/IID

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	83628.86	7307.78	90936.64	171166.38	7329.32	178495.70	87559.06
2	83570.72	7490.47	91061.19	175445.54	7512.55	182958.09	91896.90
3	83585.71	7677.74	91263.45	179831.68	7700.36	187532.04	96268.59
4	83641.75	7869.68	91511.43	184327.47	7892.87	192220.34	100708.91
5	83606.03	8066.42	91672.45	188935.66	8090.20	197025.86	105353.41

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:
		ICF/IID
Year 1	2998	2998
Year 2	3056	3056
Year 3	3115	3115
Year 4	3175	3175
Year 5	3237	3237

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.*

The average length of stay of 334 days is based on WY3 2023-2024 length of stay. The data source is the Hawaii Pre-Paid Medical Management Information System (HPMMIS).

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:*

Factor D projections are based on estimates regarding the number of users and units per user were derived from an analysis of paid claims with start or end dates of services in state fiscal year 2025 (July 1, 2024 through June 30, 2025) exported from the State's payment system. Cost per unit figures reflect the published fee schedule for services with fixed rates, including the rate increases described in Appendix I-2-a, and average costs observed in fiscal year 2025 for services reimbursed based on cost.

The estimates generally assume the ratio of users to enrollees remains constant for each service. So, each percentage increase in total enrollment leads to the same percentage increase in the number of users of a service.

The number of units per user is assumed to remain constant as the State does not anticipate changes in utilization patterns.

For the new service, Personal Care Assistance, the State estimates less than one percent of enrollees will use the service.

ii. Factor D' Derivation. *The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Factor D' projections are based on actual costs for WY3 2023-2024 ($6786) then increased by 2.5% each year of the waiver renewal, based on the CMS Market Basket for Skilled Nursing Facilities utilized by DHS/MQD to calculate the inflation factor for Hawaii PPS Rates. The source year of the 2.5% inflation factor was State Fiscal Year 2025, from July 1, 2024 through June 30, 2025. The state's estimate of D' costs does not include prescribed drugs for dual eligible members. Hawaii does not pay for any prescription drugs, including the copays for dual eligible members.

The data source for the WY3 data used to calculate Factor D' was HPMMIS. Some additional costs related to consumer-directed chore and personal care services were provided separately and merged with the extracted HPMMIS data which included paid claims and enrollment data on members in the waiver population. In future years, these additional cost of these services will be captured as claims within HPMMIS, and therefore, no additional data sources will be necessary.

Hawaii's data indicates that Factor D' is generally slightly less than Factor G'. This difference may be attributable to the limitations of the analysis. Factor D' is based on all members enrolled in the waiver, which represents approximately 2,750 members per year. There is some fluctuation in costs at the member level, with some members exclusively using their Medicaid eligibility to receive waiver services. Therefore, average expenditures per member are proportionately reduced. On the other hand, Factor G' is based on a much smaller comparison population of approximately 80 members, all of whom are actively receiving and utilizing Medicaid services. As a result, the average expenditures per member remain a bit higher than the waiver group.

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:*

Factor G projections are based on actual costs for WY3 2023-2024 ($158,945) then increased by 2.5% each year of the waiver renewal, based on the CMS Market Basket for Skilled Nursing Facilities utilized by DHS/MQD to calculate the inflation factor for Hawaii PPS Rates. The source year of the 2.5% inflation factor was State Fiscal Year 2025, from July 1, 2024 through June 30, 2025.

The data source for the WY3 data used to calculate Factor G was HPMMIS. The extracted HPMMIS data included paid claims and enrollment data for members included in the comparison population.

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:*

Factor G' projections are based on actual costs for WY3 2023-2024 ($6,806) then increased by 2.5% each year of the waiver renewal, based on the CMS Market Basket for Skilled Nursing Facilities utilized by DHS/MQD to calculate the inflation factor for Hawaii PPS Rates. The source year of the 2.5% inflation factor was State Fiscal Year 2025, from July 1, 2024 through June 30, 2025.

The data source for the WY3 data used to calculate Factor G' was HPMMIS. The extracted HPMMIS data included paid claims and enrollment data for members included in the comparison population.

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 Health (ADH)	
Discovery & Career Planning (DCP)	
Individual Employment Supports (IES)	
Personal Assistance/Habilitation (PAB)	
Personal Care Assistance (PCA)	
Residential Habilitation (ResHab)	
Respite	
Additional Residential Supports (ARS)	
Assistive Technology (AT)	
Chore	
Community Learning Services (CLS)	
Community Navigator (CN)	
Environmental Accessibility Adaptations (EAA)	
Non-Medical Transportation (NMT)	
Personal Emergency Response System (PERS)	
Private Duty Nursing (PDN)	
Residential Care Supports	
Specialized Medical Equipment and Supplies (SMES)	
Training and Consultation	
Vehicle Modifications (VM)	
Waiver Emergency Services	

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
Adult Day Health (ADH) Total:						19411305.73
Adult Day Health (ADH)	15 min/unit	1181	2983.00	5.51	19411305.73	
Discovery & Career Planning (DCP) Total:						1844178.24
Discovery & Career Planning (DCP)	15 min/unit	96	1151.00	16.69	1844178.24	
Individual Employment Supports (IES) Total:						962062.53
Individual Employment Supports (IES)	15 min/unit	57	1073.00	15.73	962062.53	
Personal Assistance/Habilitation (PAB) Total:						64246284.48
Personal Assistance/Habilitation (Consumer-Directed)	15 min/unit	636	4326.00	7.36	20249832.96	
Personal Assistance/Habilitation (PAB)	15 min/unit	714	4364.00	14.12	43996451.52	
Personal Care Assistance (PCA) Total:						92435.20
Personal Care Assistance (PCA)	15 min/unit	2	4160.00	11.11	92435.20	
Residential Habilitation (ResHab) Total:						55249779.20
Residential Habilitation (ResHab)	Day	812	320.00	212.63	55249779.20	
Respite Total:						8799628.54
Respite (Consumer-Directed)	15 min/unit	441	1565.00	7.30	5038204.50	
Respite RN	15 min/unit	15	1783.00	28.08	750999.60	
Respite	15 min/unit	192	1387.00	11.14	2966626.56	
Respite Daily	Day	12	17.00	161.57	32960.28	
Respite LPN	15 min/unit	3	348.70	10.36	10837.60	
Additional Residential						444317.28

GRAND TOTAL: 250719312.21

Total Estimated Unduplicated Participants: 2998

Factor D (Divide total by number of participants): 83628.86

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Supports (ARS) Total:						
Additional Residential Supports (ARS)	15 min/unit	24	1957.00	9.46	444317.28	
Assistive Technology (AT) Total:						25000.00
Assistive Technology (AT)	Unit	5	5000.00	1.00	25000.00	
Chore Total:						593639.52
Chore	15 min/unit	24	1798.00	9.67	417279.84	
Chore (Consumer-Directed)	15 min/unit	18	1458.00	6.72	176359.68	
Community Learning Services (CLS) Total:						93774308.42
Community Learning Service (CLS)- Group	15 min/unit	1061	1062.00	7.80	8788899.60	
Community Learning Service (CLS)- Individual (Consumer-Directed)	15 min/unit	663	2990.00	7.69	15244425.30	
Community Learning Service (CLS)- Individual	15 min/unit	1703	2836.00	14.44	69740983.52	
Community Navigator (CN) Total:						1773.72
Community Navigator (CN)	15 min/unit	3	39.00	15.16	1773.72	
Environmental Accessibility Adaptations (EAA) Total:						34200.00
Environmental Accessibility Adaptations (EAA)	Unit	15	2280.00	1.00	34200.00	
Non-Medical Transportation (NMT) Total:						100747.13
Non-Medical Transportation (NMT)- Mile	Mile	13	2485.30	1.70	54925.13	
Non-Medical Transportation (NMT)- Trip	Trip	35	218.20	6.00	45822.00	
Personal Emergency Response System (PERS) Total:						1335.50
Personal Emergency Response System (PERS)- Installation	Service	1	0.70	65.00	45.50	
Personal Emergency Response System (PERS)- Service	Month	6	5.00	43.00	1290.00	
Private Duty Nursing (PDN) Total:						2168019.18

GRAND TOTAL: 250719312.21

Total Estimated Unduplicated Participants: 2998

Factor D (Divide total by number of participants): 83628.86

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Private Duty Nursing (PDN) RN	15 min/unit	18	3893.00	30.87	2163184.38	
Private Duty Nursing (PDN) LPN	15 min/unit	1	255.00	18.96	4834.80	
Residential Care Supports Total:						115673.60
Residential Care Supports	Day	2	320.00	180.74	115673.60	
Specialized Medical Equipment and Supplies (SMES) Total:						8815.60
Specialized Medical Equipment and Supplies (SMES)	Unit	2	4407.80	1.00	8815.60	
Training and Consultation Total:						405951.84
Training and Consultation	15 min/unit	144	17.00	165.83	405951.84	
Vehicle Modifications (VM) Total:						607344.00
Vehicle Modifications (VM)	Unit	12	50612.00	1.00	607344.00	
Waiver Emergency Services Total:						1832512.50
Waiver Emergency Services- Emergency Outreach	15 min/unit	15	11.00	52.50	8662.50	
Waiver Emergency Services- Out of Home Stabilization	Day	9	193.00	1050.00	1823850.00	

GRAND TOTAL: 250719312.21
Total Estimated Unduplicated Participants: 2998
Factor D (Divide total by number of participants): 83628.86
Average Length of Stay on the Waiver: 334

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
Adult Day Health (ADH) Total:						19789341.32

GRAND TOTAL: 255392115.46
Total Estimated Unduplicated Participants: 3056
Factor D (Divide total by number of participants): 83570.72
Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Day Health (ADH)	15 min/unit	1204	2983.00	5.51	19789341.32	
Discovery & Career Planning (DCP) Total:						1882598.62
Discovery & Career Planning (DCP)	15 min/unit	98	1151.00	16.69	1882598.62	
Individual Employment Supports (IES) Total:						978940.82
Individual Employment Supports (IES)	15 min/unit	58	1073.00	15.73	978940.82	
Personal Assistance/Habilitation (PAB) Total:						65429412.64
Personal Assistance/Habilitation (Consumer-Directed)	15 min/unit	648	4326.00	7.36	20631905.28	
Personal Assistance/Habilitation (PAB)	15 min/unit	727	4364.00	14.12	44797507.36	
Personal Care Assistance (PCA) Total:						92435.20
Personal Care Assistance (PCA)	15 min/unit	2	4160.00	11.11	92435.20	
Residential Habilitation (ResHab) Total:						56338444.80
Residential Habilitation (ResHab)	Day	828	320.00	212.63	56338444.80	
Respite Total:						8953362.77
Respite (Consumer-Directed)	15 min/unit	449	1565.00	7.30	5129600.50	
Respite RN	15 min/unit	15	1783.00	28.08	750999.60	
Respite	15 min/unit	196	1387.00	11.14	3028431.28	
Respite Daily	Day	12	17.00	161.57	32960.28	
Respite LPN	15 min/unit	3	348.70	10.87	11371.11	
Additional Residential Supports (ARS) Total:						444317.28
Additional Residential Supports (ARS)	15 min/unit	24	1957.00	9.46	444317.28	
Assistive Technology (AT) Total:						25000.00
Assistive Technology (AT)	Unit	5	5000.00	1.00	25000.00	
Chore Total:						593639.52
Chore					417279.84	

GRAND TOTAL: 255392115.46

Total Estimated Unduplicated Participants: 3056

Factor D (Divide total by number of participants): 83570.72

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	15 min/unit	24	1798.00	9.67		
Chore (Consumer-Directed)	15 min/unit	18	1458.00	6.72	176359.68	
Community Learning Services (CLS) Total:						95575591.94
Community Learning Service (CLS)- Group	15 min/unit	1082	1062.00	7.80	8962855.20	
Community Learning Service (CLS)- Individual (Consumer-Directed)	15 min/unit	675	2990.00	7.69	15520342.50	
Community Learning Service (CLS)- Individual	15 min/unit	1736	2836.00	14.44	71092394.24	
Community Navigator (CN) Total:						1773.72
Community Navigator (CN)	15 min/unit	3	39.00	15.16	1773.72	
Environmental Accessibility Adaptations (EAA) Total:						34200.00
Environmental Accessibility Adaptations (EAA)	Unit	15	2280.00	1.00	34200.00	
Non-Medical Transportation (NMT) Total:						104947.29
Non-Medical Transportation (NMT)- Mile	Mile	13	2485.30	1.83	59125.29	
Non-Medical Transportation (NMT)- Trip	Trip	35	218.20	6.00	45822.00	
Personal Emergency Response System (PERS) Total:						1335.50
Personal Emergency Response System (PERS)- Installation	Service	1	0.70	65.00	45.50	
Personal Emergency Response System (PERS)- Service	Month	6	5.00	43.00	1290.00	
Private Duty Nursing (PDN) Total:						2168019.18
Private Duty Nursing (PDN) RN	15 min/unit	18	3893.00	30.87	2163184.38	
Private Duty Nursing (PDN) LPN	15 min/unit	1	255.00	18.96	4834.80	
Residential Care Supports Total:						115673.60
Residential Care Supports	Day	2	320.00	180.74	115673.60	
Specialized Medical						8815.60

GRAND TOTAL: 255392115.46

Total Estimated Unduplicated Participants: 3056

Factor D (Divide total by number of participants): 83570.72

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Equipment and Supplies (SMES) Total:						
Specialized Medical Equipment and Supplies (SMES)	Unit	2	4407.80	1.00	8815.60	
Training and Consultation Total:						414409.17
Training and Consultation	15 min/unit	147	17.00	165.83	414409.17	
Vehicle Modifications (VM) Total:						607344.00
Vehicle Modifications (VM)	Unit	12	50612.00	1.00	607344.00	
Waiver Emergency Services Total:						1832512.50
Waiver Emergency Services- Emergency Outreach	15 min/unit	15	11.00	52.50	8662.50	
Waiver Emergency Services- Out of Home Stabilization	Day	9	193.00	1050.00	1823850.00	

GRAND TOTAL: 255392115.46
Total Estimated Unduplicated Participants: 3056
Factor D (Divide total by number of participants): 83570.72
Average Length of Stay on the Waiver: 334

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
Adult Day Health (ADH) Total:						20167376.91
Adult Day Health (ADH)	15 min/unit	1227	2983.00	5.51	20167376.91	
Discovery & Career Planning (DCP) Total:						1921019.00
Discovery & Career Planning (DCP)	15 min/unit	100	1151.00	16.69	1921019.00	
Individual Employment Supports (IES) Total:						995819.11
Individual Employment					995819.11	

GRAND TOTAL: 260369489.78
Total Estimated Unduplicated Participants: 3115
Factor D (Divide total by number of participants): 83585.71
Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Supports (IES)	15 min/unit	59	1073.00	15.73		
Personal Assistance/Habilitation (PAB) Total:						66674160.48
Personal Assistance/Habilitation (Consumer-Directed)	15 min/unit	660	4326.00	7.36	21013977.60	
Personal Assistance/Habilitation (PAB)	15 min/unit	741	4364.00	14.12	45660182.88	
Personal Care Assistance (PCA) Total:						92435.20
Personal Care Assistance (PCA)	15 min/unit	2	4160.00	11.11	92435.20	
Residential Habilitation (ResHab) Total:						57427110.40
Residential Habilitation (ResHab)	Day	844	320.00	212.63	57427110.40	
Respite Total:						9153136.96
Respite (Consumer-Directed)	15 min/unit	458	1565.00	7.30	5232421.00	
Respite RN	15 min/unit	16	1783.00	28.08	801066.24	
Respite	15 min/unit	199	1387.00	11.14	3074784.82	
Respite Daily	Day	12	17.00	161.57	32960.28	
Respite LPN	15 min/unit	3	348.70	11.38	11904.62	
Additional Residential Supports (ARS) Total:						462830.50
Additional Residential Supports (ARS)	15 min/unit	25	1957.00	9.46	462830.50	
Assistive Technology (AT) Total:						25000.00
Assistive Technology (AT)	Unit	5	5000.00	1.00	25000.00	
Chore Total:						620823.94
Chore	15 min/unit	25	1798.00	9.67	434666.50	
Chore (Consumer-Directed)	15 min/unit	19	1458.00	6.72	186157.44	
Community Learning Services (CLS) Total:						97399868.56
Community Learning Service (CLS)- Group	15 min/unit	1103	1062.00	7.80	9136810.80	
Community Learning Service (CLS)-					15819252.80	

GRAND TOTAL: 260369489.78

Total Estimated Unduplicated Participants: 3115

Factor D (Divide total by number of participants): 83585.71

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Individual (Consumer-Directed)	15 min/unit	688	2990.00	7.69		
Community Learning Service (CLS)-Individual	15 min/unit	1769	2836.00	14.44	72443804.96	
Community Navigator (CN) Total:						1773.72
Community Navigator (CN)	15 min/unit	3	39.00	15.16	1773.72	
Environmental Accessibility Adaptations (EAA) Total:						36480.00
Environmental Accessibility Adaptations (EAA)	Unit	16	2280.00	1.00	36480.00	
Non-Medical Transportation (NMT) Total:						114333.71
Non-Medical Transportation (NMT)-Mile	Mile	13	2485.30	2.08	67202.51	
Non-Medical Transportation (NMT)-Trip	Trip	36	218.20	6.00	47131.20	
Personal Emergency Response System (PERS) Total:						1335.50
Personal Emergency Response System (PERS)- Installation	Service	1	0.70	65.00	45.50	
Personal Emergency Response System (PERS)- Service	Month	6	5.00	43.00	1290.00	
Private Duty Nursing (PDN) Total:						2288196.09
Private Duty Nursing (PDN) RN	15 min/unit	19	3893.00	30.87	2283361.29	
Private Duty Nursing (PDN) LPN	15 min/unit	1	255.00	18.96	4834.80	
Residential Care Supports Total:						115673.60
Residential Care Supports	Day	2	320.00	180.74	115673.60	
Specialized Medical Equipment and Supplies (SMES) Total:						8815.60
Specialized Medical Equipment and Supplies (SMES)	Unit	2	4407.80	1.00	8815.60	
Training and Consultation Total:						422866.50
Training and Consultation	15 min/unit	150	17.00	165.83	422866.50	
Vehicle Modifications (VM) Total:						607344.00

GRAND TOTAL: 260369489.78

Total Estimated Unduplicated Participants: 3115

Factor D (Divide total by number of participants): 83585.71

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Vehicle Modifications (VM)	Unit	12	50612.00	1.00	607344.00	
Waiver Emergency Services Total:						1833090.00
Waiver Emergency Services- Emergency Outreach	15 min/unit	16	11.00	52.50	9240.00	
Waiver Emergency Services- Out of Home Stabilization	Day	9	193.00	1050.00	1823850.00	

GRAND TOTAL: 260369489.78
Total Estimated Unduplicated Participants: 3115
Factor D (Divide total by number of participants): 83585.71
Average Length of Stay on the Waiver: 334

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
Adult Day Health (ADH) Total:						20561848.83
Adult Day Health (ADH)	15 min/unit	1251	2983.00	5.51	20561848.83	
Discovery & Career Planning (DCP) Total:						1959439.38
Discovery & Career Planning (DCP)	15 min/unit	102	1151.00	16.69	1959439.38	
Individual Employment Supports (IES) Total:						1012697.40
Individual Employment Supports (IES)	15 min/unit	60	1073.00	15.73	1012697.40	
Personal Assistance/Habilitation (PAB) Total:						68012367.36
Personal Assistance/Habilitation (Consumer-Directed)	15 min/unit	673	4326.00	7.36	21427889.28	
Personal Assistance/Habilitation (PAB)	15 min/unit	756	4364.00	14.12	46584478.08	
Personal Care Assistance (PCA) Total:						92435.20

GRAND TOTAL: 265562565.07
Total Estimated Unduplicated Participants: 3175
Factor D (Divide total by number of participants): 83641.75
Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Personal Care Assistance (PCA)	15 min/unit	2	4160.00	11.11	92435.20	
Residential Habilitation (ResHab) Total:						58515776.00
Residential Habilitation (ResHab)	Day	860	320.00	212.63	58515776.00	
Respite Total:						9320508.87
Respite (Consumer-Directed)	15 min/unit	467	1565.00	7.30	5335241.50	
Respite RN	15 min/unit	16	1783.00	28.08	801066.24	
Respite	15 min/unit	203	1387.00	11.14	3136589.54	
Respite Daily	Day	13	17.00	161.57	35706.97	
Respite LPN	15 min/unit	3	348.70	11.38	11904.62	
Additional Residential Supports (ARS) Total:						462830.50
Additional Residential Supports (ARS)	15 min/unit	25	1957.00	9.46	462830.50	
Assistive Technology (AT) Total:						25000.00
Assistive Technology (AT)	Unit	5	5000.00	1.00	25000.00	
Chore Total:						620823.94
Chore	15 min/unit	25	1798.00	9.67	434666.50	
Chore (Consumer-Directed)	15 min/unit	19	1458.00	6.72	186157.44	
Community Learning Services (CLS) Total:						99288090.12
Community Learning Service (CLS)- Group	15 min/unit	1124	1062.00	7.80	9310766.40	
Community Learning Service (CLS)- Individual (Consumer-Directed)	15 min/unit	702	2990.00	7.69	16141156.20	
Community Learning Service (CLS)- Individual	15 min/unit	1803	2836.00	14.44	73836167.52	
Community Navigator (CN) Total:						1773.72
Community Navigator (CN)	15 min/unit	3	39.00	15.16	1773.72	
Environmental Accessibility Adaptations (EAA) Total:						36480.00

GRAND TOTAL: 265562565.07

Total Estimated Unduplicated Participants: 3175

Factor D (Divide total by number of participants): 83641.75

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Environmental Accessibility Adaptations (EAA)	Unit	16	2280.00	1.00	36480.00	
Non-Medical Transportation (NMT) Total:						116272.25
Non-Medical Transportation (NMT)- Mile	Mile	13	2485.30	2.14	69141.05	
Non-Medical Transportation (NMT)- Trip	Trip	36	218.20	6.00	47131.20	
Personal Emergency Response System (PERS) Total:						1335.50
Personal Emergency Response System (PERS)- Installation	Service	1	0.70	65.00	45.50	
Personal Emergency Response System (PERS)- Service	Month	6	5.00	43.00	1290.00	
Private Duty Nursing (PDN) Total:						2288196.09
Private Duty Nursing (PDN) RN	15 min/unit	19	3893.00	30.87	2283361.29	
Private Duty Nursing (PDN) LPN	15 min/unit	1	255.00	18.96	4834.80	
Residential Care Supports Total:						115673.60
Residential Care Supports	Day	2	320.00	180.74	115673.60	
Specialized Medical Equipment and Supplies (SMES) Total:						8815.60
Specialized Medical Equipment and Supplies (SMES)	Unit	2	4407.80	1.00	8815.60	
Training and Consultation Total:						428504.72
Training and Consultation	15 min/unit	152	17.00	165.83	428504.72	
Vehicle Modifications (VM) Total:						657956.00
Vehicle Modifications (VM)	Unit	13	50612.00	1.00	657956.00	
Waiver Emergency Services Total:						2035740.00
Waiver Emergency Services- Emergency Outreach	15 min/unit	16	11.00	52.50	9240.00	
Waiver Emergency Services- Out of Home Stabilization	Day	10	193.00	1050.00	2026500.00	

GRAND TOTAL: 265562565.07

Total Estimated Unduplicated Participants: 3175

Factor D (Divide total by number of participants): 83641.75

Average Length of Stay on the Waiver: 334

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
Adult Day Health (ADH) Total:						20956320.75
Adult Day Health (ADH)	15 min/unit	1275	2983.00	5.51	20956320.75	
Discovery & Career Planning (DCP) Total:						1997859.76
Discovery & Career Planning (DCP)	15 min/unit	104	1151.00	16.69	1997859.76	
Individual Employment Supports (IES) Total:						1046453.98
Individual Employment Supports (IES)	15 min/unit	62	1073.00	15.73	1046453.98	
Personal Assistance/Habilitation (PAB) Total:						69288954.56
Personal Assistance/Habilitation (Consumer-Directed)	15 min/unit	686	4326.00	7.36	21841800.96	
Personal Assistance/Habilitation (PAB)	15 min/unit	770	4364.00	14.12	47447153.60	
Personal Care Assistance (PCA) Total:						92435.20
Personal Care Assistance (PCA)	15 min/unit	2	4160.00	11.11	92435.20	
Residential Habilitation (ResHab) Total:						59672483.20
Residential Habilitation (ResHab)	Day	877	320.00	212.63	59672483.20	
Respite Total:						9486420.79
Respite (Consumer-Directed)	15 min/unit	476	1565.00	7.30	5438062.00	
Respite RN	15 min/unit	16	1783.00	28.08	801066.24	
Respite	15 min/unit	207	1387.00	11.14	3198394.26	
Respite Daily	Day				35706.97	

GRAND TOTAL: 270632716.47

Total Estimated Unduplicated Participants: 3237

Factor D (Divide total by number of participants): 83606.03

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		13	17.00	161.57		
Respite LPN	15 min/unit	3	348.70	12.61	13191.32	
Additional Residential Supports (ARS) Total:						481343.72
Additional Residential Supports (ARS)	15 min/unit	26	1957.00	9.46	481343.72	
Assistive Technology (AT) Total:						25000.00
Assistive Technology (AT)	Unit	5	5000.00	1.00	25000.00	
Chore Total:						638210.60
Chore	15 min/unit	26	1798.00	9.67	452053.16	
Chore (Consumer-Directed)	15 min/unit	19	1458.00	6.72	186157.44	
Community Learning Services (CLS) Total:						101243505.86
Community Learning Service (CLS)- Group	15 min/unit	1146	1062.00	7.80	9493005.60	
Community Learning Service (CLS)- Individual (Consumer-Directed)	15 min/unit	715	2990.00	7.69	16440066.50	
Community Learning Service (CLS)- Individual	15 min/unit	1839	2836.00	14.44	75310433.76	
Community Navigator (CN) Total:						1773.72
Community Navigator (CN)	15 min/unit	3	39.00	15.16	1773.72	
Environmental Accessibility Adaptations (EAA) Total:						36480.00
Environmental Accessibility Adaptations (EAA)	Unit	16	2280.00	1.00	36480.00	
Non-Medical Transportation (NMT) Total:						120795.49
Non-Medical Transportation (NMT)- Mile	Mile	13	2485.30	2.28	73664.29	
Non-Medical Transportation (NMT)- Trip	Trip	36	218.20	6.00	47131.20	
Personal Emergency Response System (PERS) Total:						1335.50
Personal Emergency Response System (PERS)- Installation	Service	1	0.70	65.00	45.50	

GRAND TOTAL: 270632716.47

Total Estimated Unduplicated Participants: 3237

Factor D (Divide total by number of participants): 83606.03

Average Length of Stay on the Waiver: 334

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Personal Emergency Response System (PERS)- Service	Month	6	5.00	43.00	1290.00	
Private Duty Nursing (PDN) Total:						2288196.09
Private Duty Nursing (PDN) RN	15 min/unit	19	3893.00	30.87	2283361.29	
Private Duty Nursing (PDN) LPN	15 min/unit	1	255.00	18.96	4834.80	
Residential Care Supports Total:						115673.60
Residential Care Supports	Day	2	320.00	180.74	115673.60	
Specialized Medical Equipment and Supplies (SMES) Total:						8815.60
Specialized Medical Equipment and Supplies (SMES)	Unit	2	4407.80	1.00	8815.60	
Training and Consultation Total:						436962.05
Training and Consultation	15 min/unit	155	17.00	165.83	436962.05	
Vehicle Modifications (VM) Total:						657956.00
Vehicle Modifications (VM)	Unit	13	50612.00	1.00	657956.00	
Waiver Emergency Services Total:						2035740.00
Waiver Emergency Services- Emergency Outreach	15 min/unit	16	11.00	52.50	9240.00	
Waiver Emergency Services- Out of Home Stabilization	Day	10	193.00	1050.00	2026500.00	

GRAND TOTAL: 270632716.47

Total Estimated Unduplicated Participants: 3237

Factor D (Divide total by number of participants): 83606.03

Average Length of Stay on the Waiver: 334