

Aging and People with Disabilities

Mike Maley

Authorized Signature

**Number:** APD-AR-12-043

**Issue Date:** 10/24/2012

**Topic:** Developmental Disabilities

**Due Date:** February 1, 2013

2011 TXIX HCBS Waiver Review Checklist and Statewide Sample

**Subject:** Information

**Applies to (check all that apply):**

- |   |   |
|---|---|
| <input type="checkbox"/> All DHS employees                  | <input checked="" type="checkbox"/> County DD Program Managers  |
| <input type="checkbox"/> Area Agencies on Aging             | <input checked="" type="checkbox"/> County Mental Health Directors  |
| <input type="checkbox"/> Aging and People with Disabilities | <input type="checkbox"/> Health Services  |
| <input type="checkbox"/> Children, Adults and Families      | <input checked="" type="checkbox"/> Other (please specify): Support Service Brokerage Directors, ODDS management staff, CIIS management staff |

**Action Required:**

**What:**

Participation in the Centers for Medicare and Medicaid Services (CMS) Title XIX Home and Community Based Services (HCBS) Waiver program for individuals with intellectual and other developmental disabilities requires compliance with certain conditions. To assure these conditions are met, Community Developmental Disability Programs (CDDP), Support Services Brokerages (Brokerages) and the Children's Intensive In Home Services (CIIS) Unit must annually complete file reviews for randomly selected individuals using the HCBS TXIX Waiver Review Checklist. The HCBS Title XIX Waiver Review Checklist is designed to target the 6 Quality Assurance measures required by CMS.

The HCBS Title XIX Waiver Review activity for 2011 has separate checklists for CDDPs and Brokerages. CIIS will use the same checklist as CDDPs. Both checklists focus on questions related to individuals' records including, but not limited to: the Individual Support Plan (ISP), service monitoring, Title XIX Waiver form, provider qualifications, abuse investigations and eligibility documentation. The provider qualification section focuses on compliance of providers in meeting the requirements of Oregon Administrative Rule. Dependent upon each CDDP, Brokerage or CIIS process, this information might be located in a provider file or an individual's record.

Please be advised that this year's checklist activity will be completed online using Survey

Monkey. *An e-mail will be sent to you with the link to the survey.*

**How:**

The reviews involve examination of statistically valid, randomly selected samples of CDDP, Support Services Brokerage and CIIS case files and records for compliance. The Waiver, State Plan and Quality Assurance Unit has selected a statistically-valid, random sample of individuals who received waiver services during the 2011 calendar year to be included in this statewide review. Based upon the truly random sample, some CDDPs and Brokerages may not receive a list of names to review this year.

The online survey will be used to answer questions for each individual selected for the five waiver samples. A list of individual names will be e-mailed by the Waiver, State Plan and Quality Assurance Unit, with instructions for submitting the data online in a secure manner, to each participating program office by October 31, 2012. The final data must be submitted through the online survey. No other media will be accepted.

Upon completion of the review, a report of findings and an excel file of all the data entered for each CDDP or Brokerage will be made available. CIIS will receive excel files for each of the three waiver programs operated by their unit.

The report of findings may require corrective and/or remedial action as applicable. CDDP, Brokerage, and CIIS management must identify areas requiring corrective or remedial action, assure appropriate actions are taken and completed and reported. More specific instructions about the corrective and remedial plan requirements will be submitted with the letter of findings.

**When:**

The official start date of the project is October 31, 2012. All CDDP, Brokerage and CIIS checklists must be submitted online by 5:00 PM on February 1, 2013.

**Reason for Action:** CMS requires DHS, ODDS to collect, analyze and act upon information to maintain and improve quality in waiver services. This random sample review of individual files is a primary means of assessing the State's compliance with basic Medicaid requirements for HCBS waiver services.

**Field/Stakeholder review:**     Yes     No

**If yes, reviewed by:**

*If you have any questions about this action request, contact:*

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