Claims/authorizations for dates of service on or after October 1, 2015 must use the applicable ICD-10 diagnosis code that reflects the policy intent. References in this manual to ICD-9 diagnosis codes only apply to claims/authorizations with dates of service prior to October 1, 2015.
## SUPPORTS WAIVER

### TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>SECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OVERVIEW</strong></td>
<td>43.0</td>
</tr>
<tr>
<td><strong>BENEFICIARY REQUIREMENTS</strong></td>
<td>43.1</td>
</tr>
<tr>
<td>Request for Services Registry</td>
<td></td>
</tr>
<tr>
<td>Verifying Screening for Urgency of Need and Request Date Level of Care</td>
<td></td>
</tr>
<tr>
<td>Beneficiary Discharge Criteria</td>
<td></td>
</tr>
<tr>
<td><strong>RIGHTS AND RESPONSIBILITIES</strong></td>
<td>43.2</td>
</tr>
<tr>
<td>Freedom of Choice</td>
<td></td>
</tr>
<tr>
<td>Notification of Changes</td>
<td></td>
</tr>
<tr>
<td>Participation in Care</td>
<td></td>
</tr>
<tr>
<td>Freedom of Choice of Support Coordination and Service Providers</td>
<td></td>
</tr>
<tr>
<td>Voluntary Participation</td>
<td></td>
</tr>
<tr>
<td>Compliance with Civil Rights</td>
<td></td>
</tr>
<tr>
<td>Quality of Care</td>
<td></td>
</tr>
<tr>
<td>Grievances/Fair Hearings</td>
<td></td>
</tr>
<tr>
<td>Additional Rights</td>
<td></td>
</tr>
<tr>
<td>Rights and Responsibilities Form</td>
<td></td>
</tr>
<tr>
<td><strong>SERVICE ACCESS AND AUTHORIZATION</strong></td>
<td>43.3</td>
</tr>
<tr>
<td>Provider Selection</td>
<td></td>
</tr>
<tr>
<td>Initial Plan of Care</td>
<td></td>
</tr>
<tr>
<td>Annual Plan of Care</td>
<td></td>
</tr>
<tr>
<td>Prior Authorization</td>
<td></td>
</tr>
<tr>
<td>Post Authorization</td>
<td></td>
</tr>
<tr>
<td>Changing Direct Service Providers</td>
<td></td>
</tr>
<tr>
<td>Prior Authorization for New Service Providers</td>
<td></td>
</tr>
<tr>
<td>Changing Support Coordination Agencies</td>
<td></td>
</tr>
</tbody>
</table>
COVERED SERVICES

Supported Employment
  Job Assessment
  Documentation Requirements
  Job Discovery and Development
  Documentation Requirements
  Staffing Ratios for Job Assessment, Discovery and Development
  Job Assessment
  Job Discovery and Development
  Service Limits for Job Assessment, Discovery and Development
  Authorization of Services
  Initial Job Support and Retention
  Restrictions with Other Services
  Service Limits
  Staffing Ratios
  Additional Provider Responsibilities
  Place of Service
  Transportation
  Provider Qualifications

Day Habilitation
  Place of Service
  Restrictions with Other Services
  Staffing Ratios
  Transportation
  Service Limits
  Authorization of Services
  Provider Qualifications

Community Life Engagement
  Place of Service
  Restrictions with Other Services
  Staffing Ratios
  Service Limits
  Authorization of Services
  Provider Qualifications
Prevocational Services
  Place of Service
  Staffing Ratios
  Transportation
  Restrictions with Other Services
  Service Limits
  Provider Qualifications
Respite
  Restrictions of Other Services
  Service Limits
  Provider Qualifications
Community Career Planning
  Place of Service
  Staffing Ratios
  Transportation
  Restrictions with Other Services
  Service Limits
  Provider Qualifications
Habilitation
  Place of Service
  Staffing Ratios
  Restrictions with Other Services
  Authorization of Service
  Service Limits
  Provider Qualifications
Housing Stabilization Transition Services
  Standards
  Service Exclusions
  Service Limitations
  Reimbursement
Housing Stabilization Services
  Standards
  Service Exclusions
  Service Limitations
  Reimbursement
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Emergency Response Systems</td>
<td></td>
</tr>
<tr>
<td>Service Limits</td>
<td></td>
</tr>
<tr>
<td>Agency Provider Type</td>
<td></td>
</tr>
<tr>
<td>Support Coordination</td>
<td></td>
</tr>
<tr>
<td>Service Limits</td>
<td></td>
</tr>
<tr>
<td>Provider Qualifications</td>
<td></td>
</tr>
<tr>
<td>Expanded Dental Services</td>
<td></td>
</tr>
<tr>
<td><strong>PROGRAM MONITORING</strong></td>
<td>43.5</td>
</tr>
<tr>
<td><strong>INCIDENTS, ACCIDENTS AND COMPLAINTS</strong></td>
<td>43.6</td>
</tr>
<tr>
<td>Internal Complaint Policy</td>
<td></td>
</tr>
<tr>
<td>Complaint Disclosure Statement</td>
<td></td>
</tr>
<tr>
<td>Definition of Related Terms Regarding Incidents and Complaints</td>
<td></td>
</tr>
<tr>
<td><strong>Provider Requirements</strong></td>
<td>43.7</td>
</tr>
<tr>
<td><strong>Support Coordination</strong></td>
<td>43.8</td>
</tr>
<tr>
<td><strong>DEVELOPMENTAL DISABILITY LAW</strong></td>
<td></td>
</tr>
<tr>
<td><strong>APPENDIX A</strong></td>
<td></td>
</tr>
<tr>
<td><strong>SERVICE PROCEDURE CODES/RATES</strong></td>
<td></td>
</tr>
<tr>
<td><strong>APPENDIX B</strong></td>
<td></td>
</tr>
<tr>
<td><strong>CONTACT INFORMATION</strong></td>
<td></td>
</tr>
<tr>
<td><strong>APPENDIX C</strong></td>
<td></td>
</tr>
<tr>
<td><strong>FORMS AND LINKS</strong></td>
<td></td>
</tr>
<tr>
<td><strong>APPENDIX D</strong></td>
<td></td>
</tr>
<tr>
<td><strong>CLAIMS FILING</strong></td>
<td></td>
</tr>
</tbody>
</table>
The Supports Waiver (SW) is a 1915(c) waiver designed to enhance the home and community-based supports and services available to beneficiaries with developmental disabilities who require the level of care of an intermediate care facility for individuals with intellectual disabilities (ICF/IID). The SW is funded by the Centers for Medicare and Medicaid Services (CMS), a federal agency, and matching state dollars. The waiver is operated by the Office for Citizens with Developmental Disabilities (OCDD) under the authorization of the Bureau of Health Services Financing (BHSF), both of which are under the Louisiana Department of Health (LDH).

The mission of this waiver is to create options and provide meaningful opportunities for those individuals, 18 years of age and older who have a developmental disability, through vocational and community inclusion. The waiver is available to provide:

1. The supports necessary in order for individuals to achieve their desired community living and work experience;
2. The services needed to acquire, retain, and/or improve self-help, socialization and adaptive skills; and
3. The beneficiary an opportunity to contribute to his/her community.

Objectives:

1. Promote independence for beneficiaries through the provision of services, which meet the highest standard of quality and are based on national best practices, while ensuring their health and welfare through a comprehensive system of safeguards;
2. Offer an alternative to institutionalization and costly comprehensive services through the provision of an array of services and supports that promote community inclusion and independence by enhancing (not replacing) existing informal networks;
3. Support beneficiaries and their families to exercise their rights and share responsibility for their programs, regardless of the service delivery method;
4. Offer access to services on a short-term basis that would protect the health and welfare of beneficiaries if their families or caregivers are unable to continue to provide care and supervision; and

5. Increase high school to community transition resources by offering supports and services to those 18 years and older.

Services provided through the waiver:

1. Supported employment;
2. Day habilitation;
3. Prevocational;
4. Habilitation;
5. Respite;
6. Housing stabilization transition;
7. Housing stabilization;
8. Personal emergency response system; and

All services must comply with the CMS Home and Community Based Services (HCBS) Settings Final Rule 42 CFR441.530. Any residential or non-residential setting where individuals live and/or receive HCBS must demonstrate the following:

1. Integrate in and support full access of individuals to the greater community:
   a. Provide opportunities to seek employment, work in competitive integrated settings, engage in community life, control personal resources; and
   b. Ensure that individuals receive services in the community, to the same degree of access as individuals not receiving HCBS.
2. Selection by the individual from among setting options including non-disability specific settings and options for a private unit in a residential setting. Person-centered service plan documents options based on the individual’s needs, preferences, and for residential settings, resources available for room and board.

3. Ensure an individual’s rights of privacy, dignity and respect, and freedom from coercion and restraint;

4. Optimize individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact; and

5. Facilitates individual choice regarding services and supports and who provides them.

Beneficiaries have a choice of available support coordination (SC) agencies and provider agencies and are able to select enrolled qualified agencies through the Freedom of Choice (FOC) process.

The plan of care (POC) is developed using a person-centered planning process and identifies all of a beneficiary’s needs, both non-funded and funded.

All natural supports, available community resources, and applicable Medicaid State Plan services must be exhausted prior to utilization of waiver funding. Also, if the beneficiary meets the criteria for the programs, the beneficiary must apply for, and exhaust any similar services available through Louisiana Rehabilitation Services (LRS) or the Individuals with Disabilities Education Act (IDEA).

Providers are required to follow the regulations and requirements as specified in this chapter, the Supports Waiver Rule (LAC 50:XXI.Chapter 1), the Standards for Participation Rule for home and community-based waiver providers (LAC 50:XXI.Chapters 53-61) and all applicable licensure and/or certification requirements.
BENEFICIARY REQUIREMENTS

To qualify for the Supports Waiver (SW), a person must be 18 years of age or older, be offered a waiver opportunity slot and adhere to all of the following eligibility criteria:

1. Meet the Developmental Disability Law criteria as defined in Appendix A;
2. Have his/her name on the Developmental Disabilities Request for Services Registry (RFSR);
3. Meet the financial and non-financial Medicaid eligibility criteria for Medicaid services;
4. Meet the medical requirements;
5. Meet the requirements for an intermediate care facility for individuals with an intellectual disability (ICF/IID) level of care which requires active treatment of a developmental disability under the supervision of a qualified intellectual disabilities professional;
6. Meet the determination that the SW is the Office for Citizens with Developmental Disabilities (OCDD) waiver, based on person centered planning and a needs based assessment, that will meet the needs of the individual;
7. Meet the health and welfare assurance requirements for home and community based waiver services; and
8. Be a resident of Louisiana.

To remain eligible for waiver services, a beneficiary must receive one or more waiver services every thirty days.

Request for Services Registry

Enrollment in the waiver is dependent upon the number of approved and available funded waiver slots. Individuals who request waiver services are placed on a statewide RFSR and are selected for an OCDD waiver opportunity based on the urgency of need and earliest registry date.
Requests for waiver services must be made from the applicant or his/her authorized representative by contacting the applicant’s local governing entity (LGE).

When the LGE determines that the applicant’s condition meets the definition of a developmental disability as defined by the Louisiana Developmental Disability Law (see Appendix A), the applicant’s name will be placed on the RFSR and the applicant/authorized representative will be sent a letter stating the individual’s name has been secured on the RFSR along with the original request (protected) date. The individual will then undergo a screening for urgency of need. Entry into an OCDD waiver will be offered to applicants from the RFSR by urgency of need and the earliest request for services date. If, through the needs assessment and person centered planning process, it is determined that the SW is the OCDD waiver that will meet the needs of the individual, the individual will be given a SW slot.

**Verifying Screening for Urgency of Need (SUN) and Request Date**

Applicants, or their authorized representatives, may verify their screening for urgency of need (SUN) score and request date by calling their local LGE (see Appendix C).

**Level of Care**

The SW program is an alternative to institutional care. All waiver applicants must meet the definition of a person with developmental intellectual disability (ID) as defined in Appendix A.

The LGE will issue either a Statement of Approval (SOA) or a Statement of Denial (SOD).

The Bureau of Health Services Financing (BHSF) “Request for Medical Eligibility Determination” 90-L Form is the instrument used to determine if an applicant meets the level of care of an ICF/IID. The 90-L Form must be completed, signed, and dated by the individual’s Louisiana licensed primary care physician. A licensed advanced nurse practitioner, or a licensed physician’s assistant may sign the 90-L, but the supervising or collaborating physician’s name and address must be listed. The 90-L Form must be submitted with the individual’s initial or annual plan of care (POC) to the LGE. The LGE is responsible for determining that the required level of care is met for each beneficiary.

The applicants/authorized representatives are ultimately responsible for obtaining the completed 90-L Form from the applicant’s primary care physician. This form must be obtained prior to linkage to a support coordination agency for an initial POC and no more than 90 days before the annual POC start date.
Beneficiary Discharge Criteria

Beneficiaries will be discharged from the SW if one of the following criteria is met:

1. Loss of Medicaid eligibility as determined by the parish Medicaid Office;

2. Loss of eligibility for an ICF/IID level of care as determined by the LGE;

3. Incarceration or placement under the jurisdiction of penal authorities, courts or state juvenile authorities;

4. Change of residence to another state with the intent of becoming a resident of that state;

5. Admission to an ICF/IID or nursing facility, without the intent to return to waiver services. The waiver beneficiary may return to waiver services when documentation is received from the treating physician that the admission is temporary and shall not exceed 90 days. The beneficiary will be discharged from the waiver on the 91st day if the beneficiary is still in the ICF/IID facility. Payment for SW services will not be authorized while the beneficiary is in an ICF/IID facility or nursing facility;

6. Determination by the LGE that the beneficiary’s health and welfare cannot be assured in the community through the provision of reasonable amounts of waiver services, i.e. the beneficiary presents a danger to him/herself or others;

7. Failure to cooperate in any eligibility determination process, the initial or annual implementation of the approved POC, or the responsibilities of the SW beneficiary; or

8. Continuity of stay is interrupted as a result of the beneficiary not receiving SW services during a period of 30 or more consecutive days. Continuity of stay will not apply to interruptions in waiver services because of hospitalization or institutionalization (such as admission to an ICF/IID or nursing facility) as long as there is documented expectation from the treating licensed physician that the beneficiary will return to waiver services no later than 90 days from admission to the hospital or institution.
In the case of an event or effect that cannot be reasonably anticipated or controlled (Force Majeure), support coordination agencies, service providers, and beneficiaries, whenever possible, will be informed in writing, and/or by phone, and/or via the Medicaid website, of interim guidelines and timelines for retention of waiver opportunities and/or temporary suspension of continuity of stay.

The service provider is required to notify the support coordination agency within 24 hours if the beneficiary has met any of the above stated discharge criteria.
Rights and Responsibilities

Beneficiaries of Supports Waiver (SW) services are entitled to the specific rights and responsibilities that accompany eligibility and participation in the Medicaid and Medicaid waiver programs, and those contained in the Louisiana Developmental Disability Law of 2005 (Louisiana R.S. 28:452.1).

Support coordinators and service providers must assist beneficiaries with exercising their rights and responsibilities. Every effort must be made to assure that applicants or beneficiaries understand their available choices and the consequences of those choices. Support coordinators and service providers are bound by their provider agreement with Medicaid to adhere to the following policies regarding beneficiary rights.

Freedom of Choice

Applicants/beneficiaries who qualify for an intermediate care facility for individuals with intellectual disability (ICF/IID) level of care, have the freedom to select institutional or community-based services. Applicants/beneficiaries have the responsibility to participate in the evaluation process. This includes providing the medical and other pertinent information or assisting in obtaining it for use in the person-centered planning process and certification for services.

Notification of Changes

Support coordinators and service providers may not approve or deny eligibility for the waiver or approve services in the waiver program.

The Louisiana Department of Health (LDH) - Bureau of Health Services Financing (BHSF) is responsible for determining financial eligibility for the SW program. In order to maintain eligibility, beneficiaries have the responsibility to inform BHSF of changes in their income, address, and living situation.

LDH - Office for Citizens with Developmental Disabilities (OCDD) through the local governing authority (LGE) is responsible for approving level of care and medical certification per the plan of care (POC). In order to maintain this certification, beneficiaries have the responsibility to inform OCDD through their support coordinator of any significant changes, which will affect their service needs.
Participation in Care

Support coordinators and service providers shall ensure that beneficiaries/authorized representatives participate in all person-centered planning meetings and any other meeting concerning their services and supports. Person-centered planning will be utilized in developing all services and supports to meet the beneficiary’s unmet needs. By taking an active part in planning his/her services, the beneficiary is better able to utilize the available supports and services.

In order for providers to offer the level of service necessary to ensure the beneficiary’s health, welfare, and support needs are met, the beneficiary must report any change in his/her service needs or interests to the support coordinator and service provider(s).

The support coordinator must request changes in the amount of services at least seven days before taking effect, except in emergencies. Service providers may not initiate requests for change of service or modify the POC without the participation and consent of the beneficiary.

Freedom of Choice of Support Coordination and Service Providers

Support coordinators should be aware that at the time of admission to the waiver and every six months thereafter, beneficiaries have the opportunity to change support coordination providers, if one is available. Beneficiaries may request a change by contacting the LGE.

Support coordinators will provide beneficiaries with their choice of direct service providers and help arrange for the services included in the POC. Beneficiaries have the opportunity to choose service providers initially, and once every service authorization quarter (three months), unless a change is requested for good cause.

Voluntary Participation

Providers must assure that the beneficiary’s health and welfare needs are met. As part of the planning process, methods to comply with these assurances may be negotiated to suit the beneficiary’s needs and outcomes. Beneficiaries have the right to refuse services, to be informed of the alternative services available to them, and to know the consequences of their decisions. Therefore, a beneficiary will not be required to receive services that he/she may be eligible for but does not wish to receive. The intent of the SW program is to provide community-based services to individuals who would otherwise require institutionalization.
Compliance with Civil Rights

Providers shall operate in accordance with Titles VI and VII of the Civil Rights Act of 1964, as amended, and the Vietnam Veterans Readjustment Act of 1974 and all requirements imposed by or pursuant to the regulations of the U.S. Department of Health and Human Services. This means that all services and facilities are available to persons without regard to race, color, religion, age, sex, or national origin. Beneficiaries have the responsibility to cooperate with providers by not requesting services which, in any way, violate state or federal laws.

Quality of Care

Providers must be competent, trained, and qualified to provide services to beneficiaries as outlined in the POC. In cases where services are not delivered according to the POC, or there is abuse or neglect on the part of the provider, the beneficiary shall follow the complaint reporting procedure and cooperate in the investigation and resolution of the complaint. Beneficiaries may not request providers to perform tasks that are illegal or inappropriate, and beneficiaries may not violate the rights of providers.

Grievances/Fair Hearings

Each support coordination/direct service provider shall have grievance procedures through which beneficiaries may grieve the supports or services they receive. The support coordinator shall advise beneficiaries of this right and of their rights to appeal any denial or exclusion from the program or failure to recognize a beneficiary’s choice of a service and of his/her right to a fair hearing through the Medicaid program. In the event of a fair hearing, a representative of the service provider and support coordination agency shall appear and participate in the proceedings.

The beneficiary has a responsibility to bring problems to the attention of providers or the Medicaid program and to participate in the grievance or appeal process.

Additional Rights

Beneficiaries have the right to control their personal resources, engage in community life and receive services in the community to the same degree of access as individuals not receiving
home and community based services, including employment. Individuals have a choice regarding services and supports, and who provides them.

Additional rights include, but are not limited to, the following:

1. Freedom and support to control their own schedule and activities;
2. Access to food at any time, unless contraindicated due to health and safety and documented in the plan of care;
3. Freedom to furnish and decorate their sleeping or living units within the lease or other agreement;
4. Visitors of their choosing at any time;
5. A setting that must be physically accessible to the individual; and
6. Control of personal resources, including wages earned from employment.

Rights and Responsibilities Form

For a complete list of the beneficiary’s rights and responsibilities, refer to Appendix D. The support coordinator must review these rights and responsibilities with the beneficiary and his/her authorized representative as part of the initial intake process into waiver services and annually, thereafter.
SERVICE ACCESS AND AUTHORIZATION

When funding is appropriated for an Office of Citizens with Developmental Disabilities (OCDD) waiver opportunity or an existing opportunity is vacated and funded, the next individual on the Request for Services Registry (RFSR) with the highest urgency of need screening score will receive a written notice indicating that a waiver opportunity is available. That individual will receive a needs based assessment and participate in a person centered planning process. At the conclusion of that process, if it is determined that the Supports Waiver (SW) is the most appropriate waiver for this individual, a SW offer will be extended.

The applicant will receive a waiver offer packet that includes a Support Coordination Agency Freedom of Choice (FOC) form. The support coordinator is a resource to assist individuals in the coordination of needed supports and services. The applicant must complete and return the packet to be linked to a support coordination agency.

After the applicant is linked to a support coordination agency, the support coordinator will assist the applicant in gathering the documents that may be needed for both the financial eligibility and medical certification process for level of care determination. The support coordinator informs the individual of the FOC of enrolled waiver providers and the availability of services, as well as the assistance provided through the support coordination service.

When it has been determined that another OCDD waiver will not meet the needs of the applicant, and the SW is the most appropriate waiver, another home visit is made to finalize the plan of care (POC). The following must be addressed in the POC:

1. The applicant’s assessed needs;
2. The types and quantity of services (including waiver and all other services) necessary to maintain the applicant safely in the community;
3. The individual cost of each waiver service; and
4. The total cost of waiver services covered by the POC.

Provider Selection

The support coordinator must present the beneficiary with a list of providers who are enrolled in Medicaid to provide those services that have been identified on the POC. The support coordinator
will have the beneficiary or responsible representative complete FOC form initially and annually thereafter for each identified waiver service.

**Initial Plan of Care**

The support coordinator is responsible for:

1. Notifying the provider that the beneficiary has selected their agency to provide the necessary service;

2. Scheduling a meeting with the provider and the beneficiary to discuss services needed by the beneficiary;

3. After the meeting, forwarding a copy of the draft POC and request the provider sign and return the following:
   
   a. Budget pages; and

   b. Required POC provider attachments as indicated in the POC.

4. Forwarding the initial POC packet to the local governing entity (LGE) for review and approval.

**Annual Plan of Care**

Annual POCs follow the same process as the initial POC except for the following:

1. Support coordinator supervisors are allowed to approve an annual POC based on OCDD policy; and

2. A copy of any POC approved by the Support coordinator Supervisor and supporting documentation will be forwarded to the LGE office.

**NOTE**: The authorization to provide service is contingent upon approval by the LGE office or support coordination supervisor.

**Prior Authorization**

Prior authorization (PA) is the process to approve specific services prior to service delivery and reimbursement for an enrolled Medicaid beneficiary by an enrolled Medicaid provider. The purpose of PA is to validate the service requested as medically necessary and meets criteria for reimbursement. PA does not guarantee payment for the service as payment is contingent upon
passing all the edits contained within the claims payment process, the beneficiary’s continued Medicaid eligibility, the provider’s continued Medicaid eligibility, and the ongoing medical necessity for the service.

PA is performed by the Medicaid data contractor and is specific to a beneficiary, provider, service code, established quantity of units, and for specific dates of service. PAs are issued in quarterly intervals directly to the provider, with the last quarterly authorization ending on the POC end date.

PA revolves around the POC document and any subsequent revision, which means that only the service codes and units specified in the approved POC will be considered for PA. Services provided without prior authorization are not eligible for reimbursement.

The service provider is responsible for the following activities:

1. Checking PAs to ensure all PAs for services match the approved services in the beneficiary’s approved POC. Any mistakes must be immediately corrected to match the approved services in the POC;

2. Verifying the direct service worker’s timesheet or electronic clock in/out is completed correctly and services were delivered according to the beneficiary’s approved POC before billing for the service;

3. Verifying that services were documented as evidenced by timesheets or electronic clock in/out and progress notes and are within the approved service limits as identified in the beneficiary’s POC;

4. Verifying service data in the direct service provider, Electronic Visit Verification (EVV) system or LaSRS depending on the service and modifying the data, if needed, based on actual service delivery;

5. Inputting the correct date(s) of service, authorization numbers, provider number, and beneficiary number in the billing system.

   It is the provider’s responsibility to ensure that billing information for the dates of service, procedure codes, and number of units delivered is correct and matches the information in LaSRS. Inconsistencies between LaSRS and provider’s billing system may result in recoupment;

6. Billing only for the services that were approved in the beneficiary’s POC and delivered to the beneficiary;
7. Reconciling all remittance advices issued by the Louisiana Department of Health (LDH) fiscal intermediary (FI) with each payment; and

8. Checking billing records to ensure the appropriate payment was received.

**NOTE:** Service providers have a one-year timely filing billing requirement under Medicaid regulations.

In the event that reimbursement is received without an approved PA, the amount paid is subject to recoupment.

**NOTE:** Authorization for services will not be issued retroactively unless approved due to special circumstances by the OCDD waiver director/designee.

### Post Authorization

To receive post authorization, a service provider must enter the required information into the billing system maintained by the Medicaid data contractor. The Medicaid data contractor checks the information entered into the billing system by the service provider against the prior authorized unit(s) of service. Once post authorization is granted, the service provider may bill the LDH FI for the appropriate unit(s) of service. Providers must use the correct PA number when filing claims for services rendered. Claims with the incorrect PA number will be denied.

### Changing Direct Service Providers

Beneficiaries/families may change direct service providers once every service authorization quarter (three months) with the effective date being the beginning of the following quarter. All requests for changes in services and/or service hours must be made by the beneficiary/family through the support coordinator.

Direct service providers may be changed for good cause at any time as approved by the LGE.

**Good cause reasons:**

1. A beneficiary/family moving to another region in the state where the current direct service provider does not or cannot provide services;

2. The beneficiary/family and the direct service provider have unresolved difficulties and mutually agree to a transfer;

3. The beneficiary’s health, safety or welfare have been compromised; or
4. The direct service provider has not rendered services in a manner satisfactory to the beneficiary/family.

The beneficiaries/families must contact their support coordinator to change direct service providers. The support coordinator will assist in facilitating a team meeting involving the current direct service provider(s) if agreed to by the beneficiary/family.

This meeting will address the reason for wanting to terminate services with the current service provider(s). Whenever possible, the current service provider will have the opportunity to submit a corrective action plan with specific time lines, not to exceed 30 days to attempt to meet the needs of the beneficiary.

If the beneficiary/family refuses a team meeting, the support coordinator and the LGE determines that a meeting is not possible or appropriate, or the corrective action plan and timelines are not met, the support coordinator will:

1. Provide the beneficiary/family with the current FOC list of service providers in his/her region;

2. Assist the beneficiary/family in completing the FOC and release of information form;

3. Ensure the current provider is notified immediately upon knowledge of the request and prior to the transfer; and

4. Obtain the case record from the releasing provider which must include:

   a. Progress notes from the last six months, or if the beneficiary has received services from the provider for less than six months, all progress notes from date of admission;

   b. Written documentation of services provided, including monthly and quarterly progress summaries;

   c. Current POC;

   d. Records tracking beneficiary’s progress towards POC goals and objectives;

   e. Behavior management plans, current and past if applicable;
f. Documentation of the amount of authorized services remaining in the POC, including applicable time sheets; and

g. Documentation of exit interview.

The support coordinator will forward copies of the following to the new service provider:

1. Most current POC;
2. Current assessments on which POC is based;
3. Number of services used in the calendar year;
4. Records from the previous service provider; and
5. All other waiver documents necessary for the new service provider to begin providing supports and services.

NOTE: Transfers must be made at least seven days prior to the end of the service authorization quarter. The start date should be effective the first day of the new quarter in order to coordinate services and billing. The LGE may waive this requirement in writing due to good cause, at which time the start date will be the first day of the first full calendar month.

The new service provider must bear the cost of copying, which cannot exceed the community’s competitive copying rate. If the existing provider charges a rate that exceeds the competitive copying rate, then the provider should contact the support coordinator to resolve the issue.

Prior Authorization for New Service Providers

The support coordinator will complete the POC revision form with the start date for the new provider and the end date for the transferring provider and submit the revision request to the LGE for approval.

Upon approval, a new PA number will be issued to the new provider with the effective starting date agreed upon. The transferring agency’s PA number will expire on the date immediately preceding the PA date for the new provider. New providers who provide services prior to the start date on the new PA will not be reimbursed.

Exceptions to the existing service provider end date and the new service provider begin date may be approved by the LGE when the reason for the change is due to good cause.
Changing Support Coordination Agencies

A beneficiary may change support coordination agencies after a six month period or at any time for good cause, if the new agency has not met their maximum number of beneficiaries. Thereafter, a beneficiary may request a change in support coordination agencies every 12 months. Good cause:

1. A beneficiary/family moving to another region in the state;

2. The beneficiary/family and the support coordination agency have unresolved difficulties and mutually agree to a transfer;

3. The beneficiary’s health, safety or welfare have been compromised; or

4. The support coordination agency has not rendered services in a manner satisfactory to the beneficiary/family.

Participating support coordination agencies should refer to the LDH Case Management Services Provider manual which provides a detailed description of their roles and responsibilities.
COVERED SERVICES

Supports Waiver (SW) services are designed to enhance the beneficiary’s independence through involvement with employment and other community activities. All services must be based on need documented in the approved plan of care (POC), and provided within the state of Louisiana. The services that are available include:

1. Supported employment;
2. Day habilitation;
3. Prevocational;
4. Respite;
5. Habilitation;
6. Housing stabilization transition;
7. Housing transition;
8. Support coordination; and

Beginning September 1, 2016, the use of the Electronic Visit Verification (EVV) system is mandatory for all supported employment services. The EVV system requires the electronic check in/out in the Louisiana Services Reporting System (LaSRS).

Supported Employment

Supported employment (SE) services are designed to support a beneficiary in community-based employment who, because of their disability, require ongoing support and extended follow-along to obtain and maintain a job in an integrated competitive work setting, including:

1. Customized employment or self-employment;
2. Compensation at or above the minimum wage, but not less than the customary wage; and
3. Level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

Supported employment services significantly expand available options for a beneficiary who requires services to achieve and maintain integrated, competitive employment in the community. These services include ongoing support and follow-along services, either through paid services, unpaid natural supports such as co-workers, family, friends, and/or other comparable services as appropriate.

Beneficiaries who have the most significant disabilities may require long-term employment supports to successfully maintain a job due to the ongoing nature of the beneficiary’s support needs, changes in life situations or evolving and changing job responsibilities and where natural supports would not meet this need.

Competitive employment is work performed, on a full time or part time basis, in an integrated setting which an individual is compensated at or above minimum wage, but not less than the customary wage and level of benefits paid by an employer for the same or similar work performed by individuals without disabilities.

Integrated work setting is a job site in the community where most employees do not have a disability and individuals with significant disabilities interact on a regular basis with individuals without disabilities in performing their job duties.

On-going supports and follow-along are services that are needed to support or maintain a beneficiary with a disability in employment, based upon the needs of the beneficiary and continue indefinitely.

Supported employment services may be utilized to:

1. Support an individual in an employment opportunity in the community;

2. Support an individual in establishing and/or maintaining self-employment, including home based self-employment; and

3. Support a group of no more than eight beneficiaries in an employment opportunity in the community.
Supported employment services do not support the following:

1. A beneficiary in a volunteer job. This should be completed under prevocational services or day habilitation services; and

2. Facility-based employment furnished in specialized facilities that are not a part of the general work place and do NOT include people who do not have a disability.

These services are divided into two categories:

1. Individual employment, including self-employment or microenterprise:
   a. Job assessment, discovery and development; and
   b. Initial job support and job retention.

2. Group employment:
   a. Job assessment, discovery and development; and
   b. Initial job support and job retention.

The job assessment, discovery and development process includes:

1. Identifying specific career interests of a beneficiary;

2. Identifying appropriate community employment options that match information gained from a beneficiary’s assessment, profile and/or plan;

3. Ensuring the identified position will meet the occupational, physical and financial requirements of the beneficiary; and

4. Assisting the beneficiary and employer in achieving a successful job match, placement, and sustaining employment.

The outcome of job assessment, discovery and development is sustained paid employment in an integrated setting in the general workforce in the community in a job that meets personal and career goals.
Job Assessment

Job assessment is the evaluation of a beneficiary’s skills and interests, and consists of a combination of assessment activities including:

1. Vocational assessments to determine a person’s career interests;
2. Job analysis for each job the individual is interested in obtaining;
3. Community-based situational assessments;
4. Facility-based situational assessments;
5. Placement plan;
6. Assisting with personal care in activities of daily living; and
7. Ongoing career planning.

Examples of career planning activities include, but are not limited to, the following:

1. On-going career counseling:
   On-going discussions should be conducted with the beneficiary to help answer their questions and/or to assist them in any aspect of defining a career goal.

2. Benefits planning:
   Benefit planning should be completed by a certified work incentive coordinator to assist the beneficiary in answering questions regarding Social Security benefits and working.

3. Financial literacy:
   Financial literacy is intended to assist the beneficiary in gaining skills and knowledge in the area of their personal finances which will help them in making more cost-conscious decisions.

4. Assistive technology (AT) assessments:
   These assessments are conducted as needed to enhance a beneficiary’s employability.
5. Other activities that may assist the beneficiary in increasing their knowledge in areas that enhance their decision-making to obtain an employment goal and career path.

Job assessment will not be authorized for services that include teaching concepts such as compliance, attendance, task completion, problem-solving and safety that are associated with performing compensated work, as well as, activities aimed at a generalized outcome.

Note: These activities should be completed under prevocational services.

**Documentation Requirements**

To receive post-authorization for job assessment, one or more of the following documents must be submitted to the beneficiary’s support coordinator for approval:

1. Completed vocational assessment;
2. Completed job analysis;
3. Notes from community-based/ situational assessments;
4. Placement plan;
5. Career planning activities documentation;
6. Assistive technology (AT) assessments;
7. Benefits planning documentation;
8. Documentation of job internship;
9. Documentation of job shadowing experience; and
10. Additional documentation that substantiates other assessment activity.

Approval of job assessment documents will be based on the following information:

1. The objectives and time lines outlined in the Individualized Service Plan (ISP) were met timely; and
SECTION 43.4: COVERED SERVICES

2. The written assessment that includes, at a minimum, the following information and the identification of:

a. Specific career interest(s); Assets and abilities regarding employment;

b. Potential targeted job tasks;

c. Job conditions;

d. Anticipated support needs;

e. Potential employers;

f. Maximum hours per week and times of day the beneficiary will consider working;

g. Minimum rate of pay the beneficiary will accept;

h. Benefits that might impact the beneficiary’s earnings, in particular Supplemental Security Income (SSI) and/or Social Security Disability Insurance (SSDI) benefits;

i. Areas of town, city or parish(s) the beneficiary will consider working;

j. Transportation options and selection;

k. Identification of current work strengths/skills of the beneficiary to achieve their job choice; Identification of current barriers to the beneficiary job choice; and

l. Identification of the anticipated support needs for the beneficiary.

Job Discovery and Development

Job discovery and development consists of one or more of the following activities:

1. Marketing agency services to employers that match the beneficiary’s interest in order to establish business relationships that could result in job opportunities for the beneficiary;
2. Assisting the beneficiary to make use of all available job services through one-stop career centers;

3. Contacting specific employers whose business matches the beneficiary’s career interests, or who are advertising for open positions through newspaper advertisements, websites, or word of mouth;

4. Assisting the beneficiary in creating a resume;

5. Assisting the beneficiary in preparing for a job interview;

6. Transporting the beneficiary to a job interview;

7. Accompanying the beneficiary to a job interview, if requested;

8. Referring beneficiary to work incentives, planning and assistance representatives when necessary, or as requested;

9. Reconfiguring an existing position to fit the employer and beneficiary’s needs, also known as job restructuring;

10. Consulting and/or negotiating as needed and/or requested with employer on rate of pay, benefits, and employment contracts;

11. Restructuring a work site to maximize a beneficiary’s ability to perform the job, also known as job accommodations;

12. Training to enable a beneficiary to independently travel from his/her home to place of employment;

13. Providing employee education and training as requested by employer on disability issues;

14. Providing employers with information on benefits available when hiring a person with a developmental disability such as on the job training (OJT) or Work Opportunities Tax Credit (WOTC);

15. Assisting with personal care activities of daily living; and

16. Planning ongoing career activities.
The following activities, in addition to the activities listed above, may be included for self-employment/microenterprise:

1. Coordinating access to grants and other resources needed to begin and/or sustain the enterprise;
2. Identifying equipment and supplies needed;
3. Facilitating consultation with groups able to offer guidance such as Louisiana Economic Development (LED) and the Small Business Administration (SBA);
4. Assisting with creation of a business plan;
5. Facilitating interactions with required legal entities such as necessary business licensing agencies, fire marshals and building inspectors; and
6. Assisting with hiring, training and retaining appropriate employees.

**NOTE:** Funds for self-employment may not be used to defray any expenses associated with setting up or operating a business.

**Documentation Requirements**

The following documentation reflecting the beneficiary’s choice of occupation as documented on the ISP, must be submitted to the beneficiary’s support coordinator for approval. These elements can be listed or contained in a narrative report:

1. All objectives and timelines related to job discovery and development outlined in the ISP were met timely. If changes were made, the revised ISP and new signature page with dates must be attached;
2. Dates, times, names and addresses of companies contacted and method of contact (e.g. in-person, by phone, letter, e-mail or through employer’s website);
3. Job restructuring activities, including meetings specific to an identified position in a community business including date, time, and names and job titles of community business staff in attendance. If meeting(s) occurred, meeting minutes must be submitted;
4. Community business education and/or trainings specific to an identified job in a community business, including date, time, names and job titles of community business staff in attendance, and content of education and/or training session(s);

5. Job accommodation, travel training, and any other employment related activities specific to an identified job in a community business;

6. Amount of time spent in discovery and development per day; Confidentiality release forms in the beneficiary’s native language, if applicable, that he/she approved contacts, meetings, education or training to occur in his/her absence; and

7. Other documentation related to job discovery and development activities.

The beneficiary may or may not be present during the job discovery and development activities. If the beneficiary is not present, a signed and dated confidentiality release form must be completed.

**Staffing Ratios for Job Assessment, Discovery and Development**

**Job Assessment**

The beneficiary must be present in order to receive individual, self-employment/microenterprise or group employment job assessment services. Individual or self-employment/microenterprise job assessments must be conducted on a one staff to one beneficiary ratio. For group employment, rates for job assessment are paid per beneficiary, not per group.

**Job Discovery and Development**

Individual and group employment job discovery and development may be billed on a one staff to multiple beneficiary ratio. The staff ratio needed to support the beneficiary must be documented on the plan of care (POC).

When individual job discovery and development is billed on one staff to multiple beneficiary ratios, post authorization documentation must show individual outcomes. For example, if an employer bills for two beneficiaries on the same day for the same time period, post authorization documentation must show that job development efforts were made for each individual according to his/her identified specific career interests.

**Scenario:** If more than one beneficiary’s identified career interest is childcare then billing could reflect a visit to one childcare facility on behalf of both beneficiaries. However, if a beneficiary’s
identified career interest is childcare and the other beneficiary wishes to work in a medical setting, documentation must show visits to the specific type of business for each beneficiary.

Service Limits for Individual Job Assessment, Discovery and Development

Activities will be authorized for a maximum of 2880 standard units in a service year for individual job assessment, discovery and development.

A standard unit of service is 15 minutes (¼ hour) in job assessment, discovery, and development.

Utilization of job assessment units will be counted towards the total available units for job assessment, discovery and development for a service year. Therefore, if 2880 standard units are utilized in a service year, job discovery and development could not begin until the next service year. If all available units in job assessment, discovery and development are used only for job assessment for a beneficiary in one service year, only job discovery and development activities and not job assessment will be authorized for the next service year.

Authorization of Services

To receive prior-authorization for job assessment, discovery and development services, the portion of the ISP covering these services must be submitted to the beneficiary’s support coordinator with measurable goals, objectives and time lines that address these services. The ISP must be signed and dated by the beneficiary, his/her responsible representatives and the support team members indicating agreement with the goals, objectives and timelines. The Job Assessment, Job Discovery, Job Development form must be completed (see Appendix D).

Specific documentation that shows evidence that the goals, objectives and time lines on the ISP related to those activities have been met must be submitted to the beneficiary’s support coordinator for post-authorization. If an objective or time line cannot be met timely, the provider must facilitate changes prior to the end date of the objectives and timelines on the ISP and obtain team members’ dated signatures indicating agreement with the changes. Partial completion of job assessment, discovery and/or development of ISP objectives and timelines will not qualify for post authorization and payment.

Service Limits for Group Job Assessment, Discovery and Development

Activities will be authorized for a maximum of 480 standard units in a service year for group job assessment, discovery and development.

A standard unit of service is 15 minutes (¼ hour) in job assessment, discovery, and development.
Utilization of job assessment units will be counted towards the total available units for job assessment, discovery and development for a service year. Therefore, if 480 standard units are utilized in a service year, job discovery and development could not begin until the next service year.

Authorization of Services

To receive prior-authorization for job assessment, discovery and development services, the portion of the ISP covering these services must be submitted to the beneficiary’s support coordinator with measurable goals, objectives and time lines that address these services. The ISP must be signed and dated by the individual, his/her responsible representatives and support team members indicating agreement with the goals, objectives and time lines. The Job Assessment, Job Discovery, Job Development form must be completed (see Appendix D).

Specific documentation that shows evidence that the goals, objectives and time lines on the ISP related to those activities have been met must be submitted to the beneficiary’s support coordinator for post-authorization. If an objective or time line cannot be met timely, the provider must facilitate changes prior to the end date of the objectives and timelines on the ISP and obtain team members’ dated signatures indicating agreement with the changes. Partial completion of job assessment, discovery and/or development of ISP objectives and timelines will not qualify for post authorization and payment.

Individual Initial Job Support, Retention, and Follow-Along

Initial job support is provided to the beneficiary on or off the job site by provider staff. It may be intensive, intermittent, short-term and/or ongoing.

Initial job support and retention consists of one or more of the following activities:

1. Provision of support at a job site by provider staff that ensures the beneficiary can maintain and meet the expectations of the employer;

2. Assisting with personal care activities of daily living in the employment setting by provider staff;
3. Face-to-face support off the job site by provider staff that is necessary for the beneficiary to maintain gainful employment. Examples of this kind of contact include, but are not limited to:

a. A beneficiary needing travel re-training to the work site due to changes in transportation; and

b. A beneficiary needing assistance in setting up an alarm clock system at home in order to be at work on time; The beneficiary wishing to discuss a problem that involves personal issues that could affect his/her ability to retain the job at a place other than the work site.

4. The beneficiary needing assistance with completing documentation required by the employer or by an agency providing benefits that are affected by work income, such as SSI;

5. Communications with the beneficiary by telephone, e-mail or fax that is necessary for the beneficiary to maintain gainful employment; and

6. Meetings with the community employer without the beneficiary present are limited to five days per service year; which are counted as part of the total maximum number of standard units available. Examples of when such a meeting might occur include, but are not limited to:

a. Explanation and/or demonstration of significant change in job duties which the employer feels may require re-training for the beneficiary to remain successfully employed; or

b. Discussion of a behavioral issue that may adversely impact the beneficiary’s ability to remain successfully employed.

If the beneficiary is not present at a meeting with the community employer, the provider will be expected to have the following documentation available upon request of the support coordinator, Office of Citizens with Developmental Disabilities (OCDD)/Waiver Supports and Services (WSS) or Health Standards (HSS) staff:

1. Date, time, names of persons in attendance at meeting;

2. Location and method of meeting (i.e. face-to-face with employer, by phone, or internet/videoconference);
3. Reason for meeting without beneficiary and results of meeting;

4. Written documentation through applicable confidentiality release forms in the beneficiary’s native language that the beneficiary approved contacts and/or meetings to occur in his/her absence; and

5. Transportation to or from a community business site by provider staff in a staff or provider-owned vehicle. However, the provider must produce documentation upon request of the support coordinator or OCDD, WSS or HSS staff that all other possible sources of transportation, including those incurring a charge or without charge, have been exhausted.

**NOTE:** Under no circumstances may a provider charge a beneficiary, his/her responsible representative(s), family members or other support team members a separate transportation fee.

**Self-employment/microenterprise, Initial Job Support, Retention Activities and Follow-Along Activities**

Initial job support is provided to the beneficiary on or off the job site by provider staff. It may be intensive, intermittent, short-term and/or ongoing. These activities can include, but are not limited to the following activities:

1. Provision of support by provider staff at their job site that ensures the beneficiary can maintain and meet the expectations of the job;

2. Assistance with personal care activities of daily living in the employment setting by provider staff;

3. Face-to-face support off the job site by provider staff that is necessary for the beneficiary to maintain gainful employment. Examples of this kind of contact include, but are not limited to the following:

   a. A beneficiary needing travel re-training to the work site due to changes in transportation;

   b. A beneficiary needing assistance in setting up an alarm clock system at home in order to be at work on time;
c. The beneficiary wishing to discuss a problem that involves personal issues that could affect his/her ability to retain the job at a place other than the work site;

d. The beneficiary needing assistance with completing documentation required by the job or by an agency providing benefits that are affected by work income, such as SSI; and

e. Communications with the beneficiary by telephone, e-mail or fax that is necessary for the beneficiary to maintain their employment.

4. Assistance acquiring skills necessary for operation of the business including clerical, payroll, tax functions, and inventory tracking system;

5. Assistance with interviewing, hiring or terminating employees;

6. Assistance with communications with vendors and customers; and

7. Assistance with all functions of business operations.

Initial job support and retention will be authorized for a job a beneficiary holds in a provider-owned facility when the following occurs:

1. The beneficiary is paid the same wage as a regular employee of that provider, but at least minimum wage;

2. There is a job description for the position that would be utilized by the provider for a person without a disability; and

3. The beneficiary is paid all benefits, including holidays, absentee and vacation time that other employees without disabilities would receive in a comparable position.

Initial job support and retention will only be authorized for individual job, self-employment/microenterprise or group employment for which the beneficiary is paid in accordance with the United States Fair Labor Standards Act of 1985 as amended.
Restrictions with Other Services

Beneficiaries receiving individualized supported employment services may also receive day habilitation or prevocational services, but these services cannot be billed for during the same service day and cannot equal more than five hours combined.

Staffing Ratios for Individual Initial Job Support, Retention and Follow-Along

Individual job, self-employment and microenterprise initial job support and retention must be provided with a one staff to one beneficiary ratio.

Service Limits for Individual Initial Job Support, Retention and Follow-Along:

A standard unit of service is 15 minutes (¼ hour).

Activities will be authorized for a maximum of 960 standard units in a service year for initial job support, retention and follow-along.

Group Employment Initial Job Support, Retention and Follow-Along

Group employment initial job support, retention and follow-along activities may be authorized in a provider-owned or leased facility when the following occurs:

1. The building in which business is conducted is in a separate physical location from the rest of the provider facility; and
2. Members of the public are the primary customers who utilize the services of the business.

Examples of this include, but are not limited to the following:

1. Laundry/ironing services;
2. Restaurants; and
3. Retail shops.

Initial job support and retention will only be authorized for the individual job, self-employment/microenterprise or group employment for which the beneficiary is paid in accordance with the United States Fair Labor Standards Act of 1985 as amended.
Service Limits for Group Employment Initial Job Support, Retention and Follow-Along

Group employment services are provided in regular business, industry, and community settings for groups of two to eight beneficiaries with disabilities. Supported employment group services must be provided in a manner that promotes integration into the workplace and interaction between beneficiaries and individuals without disabilities in those workplaces.

The outcome of this service is sustained paid employment and work experience leading to further career development and individual integrated community–based employment for which an individual is compensated at or above minimum wage but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

Group employment does not include vocational services provided in facility based work settings or volunteer work.

Career planning may be included in this service as well so that beneficiaries can further plan for individual employment.

Group employment initial job support, retention and follow-along activities may be authorized for only 240 standard units in a service year. Rates are paid per beneficiary, not per group. A standard unit of service is one hour or more per day.

Staffing Ratios for Group Supported Employment

Group employment initial job support and retention must have one of the following staff to beneficiary ratios in order to receive payment:

1. One staff to one beneficiary;
2. This option is only available when the staff providing the one-to-one support is in addition to a crew supervisor and is in attendance for the entire shift;
3. One staff to two beneficiaries;
4. One staff to three to four beneficiaries; or
5. One staff to five to eight beneficiaries.
The maximum ratio for group employment is one staff to eight beneficiaries.

**Restrictions with Other Services**

Beneficiaries receiving group supported employment follow-along services may also receive day habilitation or prevocational services, but these services cannot be billed for on the same service day.

**Additional Requirements for Supported Employment**

Prior to receiving individual or group SE services, the beneficiary must apply for, and exhaust any similar services available through Louisiana Rehabilitation Services (LRS) or the Individuals with Disabilities Education Act (IDEA) if the beneficiary is still attending high school. Services will be considered unavailable if a beneficiary applies, is eligible and qualifies for LRS services but is put on a waiting list. However, if there is no waiting list, the beneficiary must utilize LRS services prior to receiving individual supported employment services through the waiver.

There must be documentation in the beneficiary’s file that supported employment services are not available from programs funded under the Rehabilitation Act of 1973, the IDEA or Medicaid State Plan.

**Place of Service**

Individual Supported employment is conducted in a variety of settings, in particular at work sites in which persons without disabilities are employed. When services are provided at a work site in which persons without disabilities are employees, payment will be made only for the adaptations, supervision, and training required by beneficiaries receiving waiver services as a result of their disabilities, and will not include payment for the supervisory activities rendered as a normal part of the business setting.

**Transportation**

Transportation is included in supported employment, but whenever possible, family, neighbors, friends, co-workers or community resources that can provide transportation without charge should be utilized. Under no circumstances may a provider charge a beneficiary, his/her responsible representative(s), family members or other support team members a separate transportation fee.
Provider Qualifications

Providers of individual supported employment services must meet the following requirements:

1. Possess and maintain a 40-hour certificate of compliance from an LRS approved program as a community rehabilitation provider and maintain this certificate;

2. Complete annual training of 16 hours of approved training; and

3. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

Providers of group supported employment services must meet the following requirements:

1. Possess and maintain a 40-hour certificate of compliance from an LRS approved program as a community rehabilitation provider and maintain this certificate;

2. Complete annual training of 16 hours of approved training; and

3. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

OR

4. Be licensed as an Adult Day Care provider by the Louisiana Department of Health (LDH);

5. One vocational supervisor, at minimum, receives 15 hours of vocational training annually; and

6. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

Day Habilitation

Day habilitation services should focus on the person-centered planning process. Through this process, the beneficiary’s likes, dislikes, interests and desires will be discovered which will assist with planning on the beneficiary’s itinerary. Time should be spent exploring the community activities and experiences available to an individual in order to provide the opportunity to determine and choose how they would like to spend their time in the community.
The integration with individuals without disabilities is expected. Activities should not be created for the sole purpose of serving individuals with developmental disabilities. Beneficiaries should participate in activities already established in the community.

Day habilitation is furnished in a variety of community settings, (i.e. local recreation department, garden clubs or other clubs of interest, libraries, etc.) other than the person’s residence and is not to be limited to a fixed-site facility.

Day habilitation activities assist the individual to gain their desired community living experience, including:

1. The acquisition, retention or improvement in self-help;
2. Socialization and adaptive skills; and/or
3. Providing the individual an opportunity to contribute to his or her community.

These activities are educational or recreational in nature, and include activities that are related to the beneficiary’s interests, hobbies, clubs, sports, political events, etc.

Identified therapies in the beneficiary’s person-centered POC may be coordinated with day habilitation services. For individuals with degenerative conditions, day habilitation may include training and supports designed to maintain skills and functioning and to slow or prevent regression rather than acquiring new skills or improving existing skills. These types of therapies should be utilized in the community at places that already offer these services to people without disabilities and not created solely for individuals with disabilities.

Career planning activities may be a component of day habilitation services where the beneficiary may explore and discover opportunities consistent with their skills and interests.

Examples of career planning activities include, but are not limited to, the following:

1. Self-exploration activities developed to assist the beneficiary in becoming aware of their interests, skills, and values that can help guide the career exploration/development process and allow them to think about going to work;
2. Volunteering, in the community, in the areas identified in career exploration activities to further define a career;
3. Benefits planning completed by a certified work incentive coordinator to assist the beneficiary in answering any questions regarding Social Security benefits and working;

4. Financial literacy activities intended to assist the beneficiary in gaining skills and knowledge in the area of their personal finances which will help them in making more cost-conscious decisions and deciding that they want to go to work;

5. Field trips, in the community, to explore places of interests that may lead to them deciding to explore work;

6. Tours of businesses and meetings which provide work-based learning about career opportunities allowing beneficiaries to meet with employers in businesses that they may be interested in working; and

7. Other activities that may assist the beneficiary in increasing his/her knowledge in areas that can assist the beneficiary in decision-making which leads to exploring work.

Volunteering in the community is encouraged and should be provided under the guidelines of the United States Fair Labor Standards Act of 1985 as amended.

Beneficiaries of retirement age may also be supported in senior community activities or other meaningful retirement activities in the community, such as the local Council on Aging or other senior centers. This may also involve altering schedules to allow for more rest time throughout the day. Assistance with personal care may be a component part of day habilitation services as necessary to meet the needs of a participant, but may not comprise the entirety of the service.

Day habilitation may not provide for the payment of services that are vocational in nature – for example, the primary purpose of producing goods or performing services cannot be billed as day habilitation.

Some examples of day habilitation activities include, but are not limited to, the following:

1. Participating in community inclusion activities to gain information about a specific interest;

2. Participating in a basic nutrition and/or cooking class in the community;
3. Participating in a painting class or other arts/crafts class offered in the community alongside those who do not have disabilities; and

4. Participating in exercise classes of their choosing offered in a local gym or community center.

Other examples of day habilitation activities include, but are not limited to, a beneficiary:

1. Learning how to make proper food choices based on their nutritional needs and learns how to order from a restaurant;

2. Learning basic personal safety skills or safe travel techniques;

3. Volunteering in the community alongside peers without disabilities to be a part of the community and to learn the value of giving back to their community;

4. As appropriate, and his/her family receiving information and counseling on benefits planning and assistance in the process;

5. Participating in inclusive sports activities in their community;

6. Participating in town hall meetings and other community meetings to gather a better understanding of his community;

7. Receiving a basic understanding of his/her right to vote and how to vote and is given the opportunities to participate in political activities of his/her choosing in the community;

8. Receiving information on current events and community events that may be of interest to him/her; and

9. Receiving assistance and prompting with personal hygiene, dressing, grooming, eating, toileting, ambulation or transfers, other personal care and behavioral support needs, and any medical task which can be delegated; however, personal care assistance may not comprise the entirety of this service.
Place of Service

Day habilitation is furnished in a variety of community settings, (i.e. local recreation department, garden clubs or other clubs of interest, libraries, etc.) other than the person’s residence and is not to be limited to a fixed-site facility.

NOTE: Volunteering cannot occur in a provider-owned business or facility and must be community oriented.

Facility-based activities should include activities that are chosen by the beneficiary and should be integrated to the extent that the individual desires. Facility-based activities must be integrated just as community activities.

Restrictions with Other Services

Beneficiaries receiving day habilitation services may also receive prevocational or supported employment services, but these services cannot be provided during the same time period and cannot bill for more than five hours per day of combined vocational services.

Day habilitation services begin when the beneficiary arrives at the site where the activity will take place and the activities begin.

Staffing Ratios

Day habilitation activities may occur with one of the following staff ratios:

1. One staff to one beneficiary;
2. One staff to two to four beneficiaries; or
3. One staff to five to eight beneficiaries.

The maximum ratio for day habilitation is one staff to eight beneficiaries.

Transportation

All transportation costs are included in the reimbursement for day habilitation services. If a beneficiary needs transportation, the provider must provide, arrange or pay for appropriate transport to and from a central location convenient for the beneficiary and agreed upon by the
team. The need for transportation and the location must be documented on the ISP. Beneficiaries must be present to receive this service. Under no circumstances shall a provider charge a beneficiary, his/her responsible representative(s), family members or other support team members a separate transportation fee.

Service Limits

Day habilitation must be scheduled on the service plan for one or more days per week and may be prior authorized for up to 4800 standard units of service in a POC year. A standard unit of service is 15 minutes (¼ hour).

Authorization of Services

In order to receive prior authorization when day habilitation and habilitation services are chosen in conjunction with one another, the provider must submit specific educational strategies and timelines for each service that will be used to achieve the goals and timelines as outlined on the POC and on the ISP. This documentation must be submitted to the support coordinator within five working days after receiving the completed POC. This process must occur regardless of whether the same provider is chosen by the beneficiary for both services, or different providers are chosen for each service.

The support coordinator will:

1. Facilitate development of a POC that specifies, but does not duplicate, the training, supports and staff ratio, and time lines for day habilitation and habilitation services;

2. Cross reference the POC and the provider(s) ISP to ensure that no duplication of services will occur;

3. Approve PA; and

4. Forward the approved provider(s) ISP to the local governing entity (LGE) the same or next business day after completing the cross checks.
Provider Qualifications

Day habilitation providers must meet the following requirements:

1. Be licensed as an Adult Day Care provider by the LDH; and
2. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

Prevocational Services

Prevocational services are intended for those beneficiaries who want to work and have the end goal of individual integrated community employment, integrated community group employment or self-employment.

Prevocational services are expected to last no longer than four years. Prevocational services are provided in a variety of locations in the community alongside individuals without disabilities. Activities are NOT to be limited to a fixed site facility. Beneficiaries receiving prevocational services may choose to pursue employment opportunities at any time and do not have to participate the entire four years.

Prevocational services are intended to assist the individual in developing general, non-job-task-specific strengths and skills that contribute to employability success in paid employment in integrated community settings and to assist them in developing a career path with an employment goal that is matched to the beneficiary’s interests, skills, strengths, priorities, abilities and capabilities.

Prevocational services may include, but are not limited to:

1. Activities to increase the beneficiary’s ability to communicate effectively and appropriately when in a work environment;
2. Activities to increase the beneficiary’s ability to problem solve as independently as possible;
3. Activities to increase their ability to be a ‘team player’ and understand the importance of working as part of a team in a work environment;
4. Activities to assist the beneficiary in understanding the importance of having a good attitude when at work;
5. Activities to assist the beneficiary in engaging in appropriate work conversations and activities with fellow co-workers;

6. Participation in a class to increase their employability at the local technical college;

7. Participation in a job readiness programs available through the local One Stop or other agencies;

8. Activities to teach the beneficiary how to use general work related equipment;

9. Activities to teach the beneficiary basic work related personal safety skills;

10. Assistance and prompting in the development of personal skills needed to gain independence at work. This may include assistance with personal hygiene, dressing, grooming, eating, toileting, ambulation or transfers, behavioral support needs and any medical task, which can be delegated; however, personal care assistance may not comprise the entirety of this service; and

11. Any other activity that increases the beneficiary’s employability.

Every beneficiary MUST have a career plan and should include activities focused on the participant becoming employed to their highest ability. All career planning activities should be focused on building a plan for a path to community employment at the highest level for each participant with an employment goal.

Examples of career plan activities include, but are not limited, to the following:

1. Self-exploration activities that help the beneficiary become aware of their interests, skills, and values that can help guide the career exploration/development;

2. Vocational Assessments used to further develop the career goal;

3. Career exploration activities that help the beneficiary learn how to identify career and life goals that are consistent with their interests, skills and values. It also involves opportunities to learn about the skills and qualities required to be successful in various career and the education and training needed to pursue the career;
4. Volunteering in the community in the areas identified in career exploration activities. This will help to further define a career;

5. Ongoing career counseling discussions with the beneficiary to help them answer questions they may have or to assist them in any aspect of defining a career goal;

6. Benefits planning completed by a Certified Work Incentive Coordinator to assist the beneficiary in answering any questions regarding Social Security benefits and working;

7. Financial literacy intended to assist the beneficiary in gaining skills and knowledge in the area of their personal finances which will help them in making more cost-conscious decisions;

8. Assistive technology (AT) assessments as needed to enhance a beneficiaries’ employability;

9. Job shadowing work based learning which allows beneficiaries to ‘shadow’ someone who works in a particular area of interests for a short period of time to gain a better understanding of what the duties are of a specific type of job;

10. Tours of businesses and meetings to learn about what businesses do and career opportunities. This work-based learning allows beneficiaries to meet with employers in specific businesses to find out more about a business that they may be interested in working;

11. Internship work-based learning which allows beneficiaries to secure internships (either paid or unpaid) in a business in order to learn more in depth aspects of the particular job they are interested in doing;

12. Apprenticeship work-based learning which allows beneficiaries to secure apprenticeships that will help them develop skills in a particular area and further define a career goal; and

13. Any other activities that may assist the beneficiary in increasing their knowledge in areas that can assist the beneficiary in making decisions which leads to an employment goal and career path.

Every beneficiary MUST volunteer in the community. Volunteering will provide a beneficiary, especially someone who has never worked, an opportunity to gain insight into being a
Volunteering provides them with valuable knowledge and experience which will allow them to add skills to their resume’ as well as help them to decide the type of job they desire.

Volunteer activities are to be provided under the guidelines of the United States Fair Labor Standards Act of 1985 as amended. In the event beneficiaries are compensated, pay must be in accordance with the United States Fair Labor Standards Act of 1985 as amended. If beneficiaries are paid in excess of 50 percent of minimum wage, the provider must:

1. Conduct productivity time studies on the beneficiaries every six months;
2. Do six month formal reviews of the beneficiary’s ISP to determine the appropriateness of continued prevocational services as opposed to supported employment; and
3. Provide the support coordinator with documentation of both the productivity time studies and ISP reviews at the beneficiary’s annual POC meeting.

The end goal of prevocational services, whether it’s the beneficiary’s choice to move to the next phase or the four year time limit is up, is for the beneficiary to have an employment goal and be prepared to enter into the next phase of the career path, the job search.

If at any point the beneficiary has decided that employment is not their end goal, the beneficiary should be referred to their support coordinator and be given the option to choose other day services, such as becoming part of a community group or day habilitation.

**Place of Service**

Prevocational services are provided in a variety of locations in the community integrated alongside individuals without disabilities. Activities are NOT to be limited to a fixed site facility.

**Staffing Ratios**

Prevocational activities may occur with one of the following staff ratios:

1. One staff to one beneficiary;
2. One staff to two to four beneficiaries; or
3. One staff to five to eight beneficiaries.
The maximum ratio for prevocational services is one staff to eight beneficiaries.

**Transportation**

All transportation costs are included in the reimbursement for Prevocational services. Transportation needed by the beneficiary must be documented on the POC. The beneficiary must be present to receive this service. If the beneficiary needs transportation, the provider must physically provide, arrange, or pay for appropriate transport to and from a central location convenient for the beneficiary and agreed upon by the team. This location shall be documented in the service plan.

**NOTE:** Under no circumstances shall a provider charge a beneficiary, his/her responsible representative(s), family members or other support team members a separate transportation fee.

**Restrictions with Other Services**

Beneficiaries receiving prevocational services may also receive day habilitation, individual supported employment or group employment assessment services, but these services cannot be provided during the same time period and the total of the services cannot equal more than five hours per day. Beneficiaries may receive group supported employment follow-along services, however, these services cannot be on the same service day.

There must be documentation in the beneficiary’s file that this service is not available from programs funded under Section 110 of the Rehabilitation Act of 1973 or Sections 602 (16) or (17) of the Individuals with Disabilities Education Act (23 U.S.C. 1401) (16 and 71) and those covered under the State Plan.

**Service Limits**

Prevocational services must be scheduled on the service plan for one or more days per week and may be prior authorized for up to 4800 standard units of service in a POC year. A standard unit of service is 15 minutes (¼ hour). Choice of this service and staff ratio needed to support the beneficiary must be documented on the POC.
Provider Qualifications

Providers of prevocational services must meet the following requirements:

1. Possess a certificate of compliance from Louisiana Rehabilitation Services as a Community Rehabilitation provider and maintain this certificate;

2. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services;

OR

3. Be licensed as an Adult Day Care provider by the LDH;

4. Have at least one vocational supervisor that receives 15 hours of vocational training annually; and

5. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

Respite

Respite is a service provided on a short-term basis to a beneficiary unable to care for him/herself because of the absence of or need for relief of those unpaid caregivers/persons normally providing care for the beneficiary. Services may be provided in the beneficiary’s home or private residence, or in a licensed respite care facility determined appropriate by the beneficiary or responsible party.

Respite services may be preplanned on the POC; however, if a beneficiary anticipates needing respite in the POC year, but does not know when this will occur, he/she and his/her responsible party should receive a Freedom of Choice (FOC) list of respite providers and interview these providers. In this manner, the beneficiary and his/her responsible party(ies) and the provider chosen will be familiar with each other. When a situation occurs during the POC year in which respite will be needed, a revision to the POC will be done by the support coordinator; and the beneficiary will be able to access the service in a timely manner.

Restrictions with Other Services

Beneficiaries receiving respite may use this service in conjunction with other SW services as long as services are not provided during the same period in a day.
Service Limits

The need for respite must be documented in the POC. Respite shall not exceed 428 standard units of service in a plan year. A standard unit of service is 15 minutes (¼ hour).

Provider Qualifications

Respite service providers must meet the following requirements:

1. Be licensed as a respite care service provider; and/or
2. Be a licensed personal care attendant service provider by LDH; and
3. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

Habilitation

Habilitation services are designed to assist beneficiaries in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and/or in community settings.

These services are educational in nature and focus on achieving a goal utilizing specific teaching strategies. Goals may cover a wide range of opportunities including, but not limited to, learning how to clean house, do laundry, wash dishes, grocery shop, bank, cook meals, shop for clothing and personal items, become involved in community recreational and leisure activities, do personal yard work, and utilize transportation to access community resources.

Habilitation services include, but are not limited to, the following:

1. Participation in activities in the community to enhance his/her social skills;
2. Learning how to make choices about their day. For example, going to a restaurant, making choices about what they want to order and learning to place their order;
3. Learning to use the bus system or other public transportation sources and learns how to get about in their community including getting to their own individual job;
4. Participation in clubs or organizations which are related to their hobbies, sports or other areas of interest, such as political or civic events and learns how to be a contributing member of their community;

5. Assistance in learning how to maintain their home including, washing dishes, laundry, vacuuming, mopping and other household tasks;

6. Acquiring skills needed to cook/prepare nutritional meals in their home;

7. Assistance in learning how to grocery shop in the community as well as other community activities such as going to the bank, library and other places in the community;

8. Assistance and prompting with personal hygiene, dressing, grooming, eating, toileting, ambulation or transfers, other personal care and behavioral support needs, and any medical task which can be delegated. However, personal care assistance may not comprise the entirety of this service; and

9. Learning how to observe basic personal safety skills in the community.

Habilitation services may be provided at any time of day or night on any day of the week as needed by the beneficiary to achieve a specified goal.

Beneficiaries in habilitation services are reasonably expected to independently achieve the goal(s) identified on their service plan within measurable time lines, as evidenced by information from their standardized assessment, personal outcome interviews, and information from their support team members.

**Place of Service**

Habilitation services are provided in the home or community with the beneficiary’s place of residence as the primary setting, and include the necessary transportation.

**Staffing Ratio**

Habilitation services may only be provided on a one staff to one (1:1) beneficiary ratio.
Restrictions with Other Services

Beneficiaries receiving habilitation may use this service in conjunction with other Supports Waiver services as long as services are not provided during the same time period in a day.

Travel training to places in the community, where the beneficiary’s life activities take place, is considered a service; however, travel training to the beneficiary’s group supported employment, day habilitation, or prevocational sites is not considered a habilitation service.

Authorization of Services

To receive PA when day habilitation and habilitation services are chosen in conjunction with one another, the provider must submit specific educational strategies and time lines for each service that will be used to achieve the goals and time lines as outlined on the POC. This documentation must be submitted to the support coordinator within five working days after receiving the completed POC. This process must occur regardless of whether the same provider is chosen by the beneficiary for both services or different providers are chosen for each service.

Day habilitation ISP recreational goals, strategies and time lines should not be submitted. If the day habilitation ISP contains only recreational goals, the habilitation portion of the ISP is the only document that needs to be submitted to the support coordinator.

The support coordinator will:

1. Facilitate development of a POC that specifies but does not duplicate the training, supports and staff ratio, and time lines for Day Habilitation and Habilitation services;

2. Cross reference the POC and the provider(s) ISP(s) to ensure that no duplication of services will occur;

3. Approve prior authorization; and

4. Forward the approved provider(s)’ ISP(s) to the OCDD/WSS Regional Office the same or next business day after completing the cross checks.
Service Limits

Habilitation shall not exceed 285 standard units of service in a plan year. A standard unit of service is 15 minutes (¼ hour).

Provider Qualifications

Providers of Habilitation services shall meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services and one of the following two requirements:

1. Be licensed as a respite care service provider and/or a personal care attendant service provider by the LDH;

OR

2. Be a licensed occupational therapist in the State of Louisiana, or a licensed physical therapist in the State of Louisiana or certified through the National Council for Therapeutic recreation as a therapeutic recreational specialist and be an employee of an agency holding a personal care attendant and/or adult day care license through the LDH Health Standards Section.

Housing Stabilization Transition Services

Housing stabilization transition services enable beneficiaries who are transitioning into a permanent supportive housing (PSH) unit, including those transitioning from institutions to secure their own housing. The service is provided while the beneficiary is in an institution and preparing to exit the institution using the waiver. The service includes the following components:

1. Conducting a housing assessment that identifies the beneficiary’s preferences related to housing (type and location of housing, living alone or living with someone else, accommodations needed, and other important preferences), and identifying the beneficiary’s needs for support to maintain housing including:
   a. Access to housing;
   b. Meeting the terms of a lease;
   c. Eviction prevention;
d. Budgeting for housing/living expenses;

e. Obtaining/accessing sources of income necessary for rent;

f. Home management;

g. Establishing credit; and

h. Understanding and meeting the obligations of tenancy as defined in the lease terms.

2. Assisting the beneficiary with viewing and securing housing as needed. This may include:

a. Arranging or providing transportation;

b. Assisting in securing supporting documentation/records;

c. Assisting with completing/submitting applications;

d. Assisting in securing deposits; and

e. Assisting with locating furnishings.

3. Developing an individualized housing support plan based upon the housing assessment that:

a. Includes short and long term measurable goals for each issue;

b. Establishes the beneficiary’s approach to meeting the goal; and

c. Identifies where other provider(s) or services may be required to meet the goal.

4. Participating in the development of the POC and incorporating elements of the housing support plan; and
5. Exploring alternatives to housing if PSH is unavailable to support completion of transition.

Standards

Housing stabilization transition services may be provided by PSH agencies that are enrolled in Medicaid to provide this service, comply with LDH rules and regulations, and are listed as a provider of choice on the FOC form.

Service Exclusions

No more than 165 units of combined housing stabilization transition services and housing stabilization services (see definition) may be used per POC year without written approval from the OCDD state office.

Service Limitations

This service is only available upon referral from the support coordinator and is not duplicative of other waiver services, including support coordination. This service is only available to persons who are residing in, or who are linked for, the selection process of a state of Louisiana PSH unit.

No more than 72 units of housing stabilization services may be used per POC year without approval from the OCDD state office.

Reimbursement

Payment will not be authorized until the LGE gives final POC approval.

The OCDD state office reviews and ensures that all requirements are met. If all requirements are met, the POC is approved and the payment is authorized. The PSH provider is notified of the release of the PA and can bill the Medicaid fiscal intermediary for services provided.

Housing stabilization transition services will be reimbursed at a prospective flat rate for each approved unit of service provided to the beneficiary. A standard unit of service is equal to 15 minutes (¼ hour).
Housing Stabilization Services

Housing stabilization services enable waiver beneficiaries to maintain their own housing as set forth in the beneficiary’s approved POC. Services must be provided in the home or a community setting. This service includes the following components:

1. Conducting a housing assessment that identifies the beneficiary’s preferences related to housing (type and location of housing, living alone or with someone else, accommodations needed, and other supportive preferences), and identifying the beneficiary’s needs for support to maintain housing, including:
   a. Access to housing;
   b. Meeting the terms of a lease;
   c. Eviction prevention;
   d. Budgeting for housing/living expenses;
   e. Obtaining/accessing sources of income necessary for rent;
   f. Home management;
   g. Establishing credit; and
   h. Understanding and meeting the obligations of tenancy as defined in the lease terms.

2. Participating in the development of the Plan of Care, incorporating elements of the housing support plan;

3. Developing an individualized housing stabilization service provider plan based upon each assessment that:
   a. Includes short and long-term measurable goals for each issue;
b. Establishes the beneficiary’s approach to meeting the goal; and

c. Identifies where other provider(s) or service may be required to meet the goal.

4. Providing supports and interventions according to the individualized housing support plan. If additional supports or services are identified as needed outside the scope of housing stabilization service, the needs must be communicated to the support coordinator;

5. Providing ongoing communication with the landlord or property manager regarding:

   a. The beneficiary’s disability;

   b. Accommodations needed; and

   c. Components of emergency procedures involving the landlord or property manager.

   d. Updating the housing support plan annually or as needed due to changes in the beneficiary’s situation or status.

If at any time the beneficiary’s housing is placed at risk (eviction, loss of roommate or income), housing stabilization services will provide supports to retain housing or locate and secure housing to continue community-based supports, including locating new housing, sources of income, etc.

**Standards**

Housing stabilization services may be provided by PSH agencies that are enrolled in Medicaid to provide this service, comply with LDH rules and regulations, and are listed as a provider of choice on the FOC form.
Service Exclusions

No more than 165 units of combined housing stabilization transition or housing stabilization services (see definition) can be used per POC year without written approval from the OCDD state office.

Service Limitations

This service is only available upon referral from the support coordinator. This service is not duplicative of the other waiver services including support coordination. This service is only available to persons who are residing in a state of Louisiana PSH unit.

No more than 93 units of housing stabilization services can be used per year without written approval from the support coordinator.

Reimbursement

Payments will not be authorized until the OCDD state office gives final POC approval.

OCDD state office reviews all documents to ensure all requirements are met. If all requirements are met, the LGE approves the POC and authorizes the payment.

The PSH provider is notified of the release of the PA and can bill the Medicaid fiscal intermediary for services provided.

Housing stabilization services will be reimbursed at a prospective flat rate for each approved unit of service provided to the beneficiary. **A standard unit of service is equal to 15 minutes (¼ hour).**

Personal Emergency Response Systems

A Personal Emergency Response System (PERS) is a rented electronic device that enables beneficiaries to secure help in an emergency.
The beneficiary may wear a portable "help" button to allow for mobility. The PERS is connected to the person's phone and programmed to signal a response center once the "help" button is activated. The response center is staffed by trained professionals.

Service Limits

Coverage of the PERS is limited to the rental of the electronic device. The monthly rental fee, regardless of the number of units in the household, must include the cost of maintenance and training the beneficiary on how to use the equipment.

Reimbursement will be made for a one-time installation fee for the PERS unit.

Agency Provider Type

Providers must be enrolled as a Medicaid Home and Community Based Services Waiver service provider of Personal Emergency Response System (PERS). The provider shall install and support PERS equipment in compliance with all applicable federal, state, parish and local laws and meet manufacturer’s specifications, response requirements, maintenance records and beneficiary education requirements.

Support Coordination

Support coordination is a service that will assist beneficiaries in gaining access to all of their needed support services, including medical, social, educational and other services, regardless of the funding source for the services.

Support Coordination activities include, but are not limited to, the following:

1. Convening the person-centered planning team comprised of the beneficiary, beneficiary’s family, direct service providers, medical and social work professionals, as necessary, and advocates, who assist in determining the appropriate supports and strategies needed in order to meet the beneficiary’s needs and preferences;

2. Ongoing coordination and monitoring of supports and services included in the beneficiary’s approved POC;
3. Ongoing discussions with the beneficiary about employment including identifying barriers to employment and working to overcome those barriers, connecting the beneficiary to certified work incentive coordinators (CWIC) to do benefits planning, referring the beneficiary to Louisiana Rehabilitation Services (LRS) and following the case through closure with LRS, and other activities of the employment process as identified. This includes the quarterly completion of and data input using the Path to Employment form;

4. Building and implementing the supports and services as described in the POC;

5. Assisting the beneficiary to use the findings of formal and informal assessments to develop and implement support strategies to achieve the personal outcomes defined and prioritized by the beneficiary in the POC;

6. Providing information to the beneficiary on potential community resources, including formal resources and informal/natural resources, which may be useful in developing strategies to support the beneficiary in attaining his/her desired personal outcomes;

7. Assisting with problem solving with the beneficiary, supports, and services providers;

8. Assisting the beneficiary to initiate, develop and maintain informal and natural support networks and to obtain the services identified in the POC assuring that they meet their individual needs;

9. Advocacy on behalf of the beneficiary to assist them in obtaining benefits, supports or services, i.e. to help establish, expand, maintain and strengthen the beneficiary’s information and natural support networks. This may involve calling and/or visiting beneficiaries, community groups, organizations, or agencies with or on behalf of the beneficiary;

10. Training and supporting the beneficiary in self-advocacy, i.e. the selection of providers and utilization of community resources to achieve and maintain his/her desired outcomes;

11. Oversight of the service providers to ensure that their beneficiary receives appropriate services and outcomes as designated in the POC;
12. Assisting the beneficiary to overcome obstacles, recognize potential opportunities and developing creative opportunities;

13. Meeting with the beneficiary in a face-to-face meetings as well as phone contact as specified. This includes meeting them where the services take place;

14. Reporting and documenting any incidents/complaints/abuse/neglect according to the OCDD policy;

15. Arranging any necessary professional/clinical evaluations needed and ensure beneficiary choice;

16. Identifying, gathering and reviewing the array of formal assessments and other documents that are relevant to the beneficiary’s needs, interests, strengths, preferences and desired personal outcomes;

17. Preparing the annual social summary; and

18. Developing an action plan in conjunction with the beneficiary to monitor and evaluate strategies to ensure continued progress toward the beneficiary’s personal outcomes.

NOTE: Advocacy is assuring that the beneficiary receives appropriate supports and services of high quality and locating additional services not readily available in the community.

Service Limits

Support Coordination shall not exceed 12 units. A unit is one month.

Provider Qualifications

Support coordination providers must meet the following requirements:

1. Be licensed as a support coordination provider; and

2. Meet all requirements in the Standards for Participation for Medicaid Home and Community-Based Waiver Services.

NOTE: Please refer to the Case Management manual for additional information.
Expanded Dental Services for Adult Waiver Beneficiaries

Please refer to the Dental Benefit Program Manager Manual:

PROGRAM MONITORING

Services offered through Supports Waiver are closely monitored to assure compliance with Medicaid’s policy as well as applicable state and federal regulations.

A provider’s failure to follow State licensing standards and Medicaid policies and practices could result in the provider’s removal from Medicaid participation, federal investigation, and prosecution in suspected cases of fraud.
INCIDENTS, ACCIDENTS AND COMPLAINTS

The support coordination agency and direct service provider are responsible for ensuring the health and safety of the beneficiary. Support coordination and direct service staff must report all incidents, accidents, or suspected cases of abuse, neglect, exploitation or extortion to the on-duty supervisor immediately and as mandated by law to the appropriate agency. Reporting an incident only to a supervisor does not satisfy the legal requirement to report. The supervisor is responsible for ensuring that a report or referral is made to the appropriate agency.

All suspected cases of abuse (physical, mental, and/or sexual), neglect, exploitation or extortion must be reported to the appropriate authorities. (See Appendix C for contact information).

If the beneficiary needs emergency assistance, the worker must call 911 or the local law enforcement agency.

Any other circumstances that place the beneficiary’s health and well-being at risk should also be reported.

Support coordination agencies and direct service providers are responsible for documenting and maintaining records of all incidents and accidents involving the beneficiary. The Office for Citizens with Developmental Disabilities (OCDD)’s Critical Incident Reporting, Tracking and Follow-up Activities for Waiver Services procedures must be followed for all reporting, tracking and follow-up activities of all critical incidents. Non-compliance shall result in administrative actions as indicated in this document. (See Appendix D for information on where to obtain a copy of this document).

Internal Complaint Policy

Beneficiaries must be able to file a complaint regarding his/her services without fear of reprisal. The provider must have a written policy to handle beneficiary complaints. In order to ensure that the complaints are efficiently handled, the provider must comply with the following procedures:

1. Each provider must designate an employee to act as a complaint coordinator to investigate complaints. The complaint coordinator must maintain a log of all complaints received. The complaint log must include:
   a. The date the complaint was made;
   b. Name and telephone number of the complainant; and
c. Nature of the complaint and resolution of the complaint;

2. If the complaint is verbal, the provider staff member receiving the complaint must obtain and send all pertinent information in writing to the provider complaint coordinator. If the beneficiary completes the complaint form, he/she will be responsible for sending the form to the provider complaint coordinator;

3. The complaint coordinator must send a letter to the complainant acknowledging receipt of the complaint within five working days;

4. The complaint coordinator must thoroughly investigate each complaint. The investigation includes, but is not limited to, gathering pertinent facts from the beneficiary, the personal representative, the worker, and other interested parties. These contacts may be either in person or by telephone. The provider is encouraged to use all available resources to resolve the complaint at this level and must include the on-site program manager. For issues involving medical or quality of care issues, the on-site program manager must sign the resolution;

5. The provider’s administrator or designee must inform the beneficiary and/or the authorized representative in writing within 10 working days of receipt of the complaint, the results of the internal investigation; and

6. If the beneficiary is dissatisfied with the results of the internal investigation regarding the complaint, he/she may continue the complaint resolution process by contacting the appropriate local governing entity (LGE) in writing, or by telephone.

If the complainant’s name and address are known, the OCDD will notify the complainant within two working days that the complaint has been received and action on the complaint is being taken.

Complaint Disclosure Statement

La. R.S. 40:2009.13 - .21 sets standards for identifying complainants during investigations in nursing homes. The Bureau is mandated to use these standards for use within the Home and Community-Based Services waiver programs. When the substance of the complaint is furnished to the service provider, it must not identify the complainant or the beneficiary unless he/she consents in writing to the disclosure. If the disclosure is considered essential to the investigation or if the investigation results in judicial proceeding, the complainant must be given the opportunity to withdraw the complaint.

The OCDD may determine when the complaint is initiated that a disclosure statement is necessary.
If a Complainant Disclosure Statement is necessary, the complainant must be contacted and given an opportunity to withdraw the complaint.

If the complainant still elects to file the complaint, the OCDD will mail or fax the disclosure form to the complainant with instructions to return it to Central Office.

**Definition of Related Terms Regarding Incidents and Complaints**

The following definitions are used in the incident and complaint process:

1. **Complaint** - an allegation that an event has occurred or is occurring and has the potential for causing more than minimal harm to a consumer or consumers. (La. R.S. 40:2009.14);

2. **Minimal harm** - is an incident that causes no serious temporary or permanent physical or emotional damage and does not materially interfere with the consumer’s activities of daily living. (La. R.S. 40:2009.14);

3. **Trivial report** - is an account of an allegation that an incident has occurred to a beneficiary or beneficiaries that causes no physical or emotional harm and has no potential for causing harm to the beneficiary or beneficiaries. (La. R.S. 40:2009.14);

4. **Allegation of noncompliance** - is an accusation that an event has occurred or is occurring that has the potential for causing no more than minimal harm to a consumer or consumers. (La. R.S. 40:2009.14);

5. **Abuse** - is the infliction of physical or mental injury on an adult by other parties, including, but not limited to, such means as sexual abuse, abandonment, isolation, exploitation, or extortion of funds, or other things of value, to such an extent that his health, self-determination, or emotional wellbeing is endangered. (La. R.S. 15:1503);

6. **Exploitation** - is the illegal or improper use or management of an aged person’s or disabled adult’s funds, assets or property, or the use of an aged persons or disabled adult’s power of attorney or guardianship for one’s own profit or advantage. (La. R.S. 14:403.2);

7. **Extortion** - is the acquisition of a thing of value from an unwilling or reluctant adult by physical force, intimidation, or abuse of legal or official authority. (La.
Incidents, Accidents and Complaints

8. **Neglect** - is the failure, by a caregiver responsible for an adult’s care or by other parties, to provide the proper or necessary support or medical, surgical, or any other care necessary for his well-being. No adult who is being provided treatment in accordance with a recognized religious method of healing in lieu of medical treatment shall for that reason alone be considered to be neglected or abused. (La. R.S. 15:1503);

9. **Self-neglect** - is the failure, either by the adult’s action or inaction, to provide the proper or necessary support or medical, surgical, or any other care necessary for his own well-being. No adult who is being provided treatment in accordance with a recognized religious method of healing in lieu of medical treatment shall for that reason alone be considered to be self-neglected. (La. R.S. 15:1503);

10. **Sexual abuse** - is any sexual activity between a beneficiary and staff without regard to consent or injury; any non-consensual sexual activity between a beneficiary and another person; or any sexual activity between a beneficiary and another beneficiary or any other person when the beneficiary is not competent to give consent. Sexual activity includes, but is not limited to kissing, hugging, stroking, or fondling with sexual intent; oral sex or sexual intercourse; insertion of objects with sexual intent; request, suggestion, or encouragement by another person for the beneficiary to perform sex with any other person when beneficiary is not competent to refuse;

11. **Disabled person** - is a person with a mental, physical, or developmental disability that substantially impairs the person’s ability to provide adequately for his/her own care or protection; and

12. **Incident** - any situation involving a beneficiary that is classified in one of the categories listed in this section, or any category of event or occurrence defined by OCDD as a critical event, and has the potential to impact the beneficiary or affect delivery of waiver services.
PROVIDER REQUIREMENTS

All home and community-based services (HCBS) delivered through a 1915(c) waiver must be provided in accordance with the following qualities:

1. Integrated in and supports access to the greater community;
2. Provide opportunities to seek employment and work in competitive and integrated settings, engage in community life and control personal resources;
3. Ensures that the individual receives services in the community to the same degree of access as individuals not receiving Medicaid HCBS services;
4. Allow for a setting selected by the individual from among setting options, including non-disability specific settings and an option for a private unit in a residential setting;
5. Ensure an individual’s rights of privacy, dignity, respect, and freedom from coercion and restraint;
6. Optimize individual initiative, autonomy and independence in making life choices; and
7. Facilitate individual choice regarding services and supports and who may provide said services and supports.

In addition to the above qualities, residential provider-owned/controlled settings must have the following qualities:

1. The specific unit/dwelling must be owned, rented, or occupied under a legally enforceable agreement/lease;
2. Same responsibilities/protections from eviction as all tenants under landlord tenant law of state, parish, city or other designated entity;
3. If tenant laws do not apply, state ensures lease, residency agreement or other written agreement is in place providing protections to address eviction processes and appeals comparable to those provided under the jurisdiction’s landlord tenant law;
4. Each individual has privacy in their sleeping or living unit;
5. Units have lockable entrance doors, with the individual and appropriate staff members having keys to doors as needed;

6. Individuals who are sharing units have a choice of roommates;

7. Individuals have the freedom to furnish and decorate their sleeping or living units within the limits imposed by the lease or other agreement;

8. Individuals have the freedom and support to control their schedules and activities and have access to food at any time;

9. Individuals may have visitors at any time; and

10. The setting is physically accessible to the individual.

Provider participation in the Louisiana Medicaid program is voluntary. In order to participate in the Medicaid program, a provider must:

1. Meet all of the requirements for licensure as established by applicable state laws and rules promulgated by the Louisiana Department of Health (LDH);

2. Agree to abide by all applicable rules and regulations established by the Centers for Medicare and Medicaid Services (CMS), LDH, and other state agencies; and

3. Comply with all the terms and conditions for Medicaid enrollment.

Providers must attend all mandated meetings and training sessions as directed by the Office for Citizens with Developmental Disabilities (OCDD) or the local governing entity (LGE) as a condition of enrollment and continued participation as a waiver provider. A provider enrollment packet must be completed for each LDH administrative region in which the agency will provide services. Providers will not be added to the Freedom of Choice (FOC) list of available providers until they have completed the home and community-based services (HCBS) training related to compliance with Louisiana Administrative Code (LAC) Title XXI Chapter 9. Provider Requirements for participation in the waiver programs mandate that the provider has been issued a Medicaid provider number.

Providers must participate in the initial trainings for prior authorization and data collection, as well as any training provided on changes in the system. Initial training is provided at no cost to the agency. Any repeat training must be paid for by the requesting agency.
Providers must have available computer equipment, software, and internet connectivity necessary to participate in trainings, prior authorization (PA), data collection, and electronic visit verification (EVV).

It is the provider’s responsibility to ensure that the use of contractors, including the use of independent contractors, complies with all state and federal laws, rules and/or regulations, including those regarding LAC Title XXI Chapter 9. Provider Requirements and those enforced by the United States Department of Labor.

All residential providers must maintain a toll-free telephone line with 24-hour accessibility manned by either a staff member or an answering service. This toll-free number must be given to beneficiaries at either intake or the first meeting.

Brochures providing information on the agency’s experience must include the agency’s toll-free number along with the OCDD’s toll-free information number. OCDD must approve all brochures prior to use.

Providers must develop a Quality Improvement and Self-Assessment Plan. This is a document completed by the provider describing the procedures that are used, and the evidence that is presented, to demonstrate compliance with program requirements. The first self-assessment is due six (6) months after approval of the Quality Improvement Plan (QIP), and annually thereafter.

The QIP must be submitted for approval within sixty (60) days after the training is provided by LDH.

Providers must be certified for a period of one (1) year. Re-certification must be completed no less than sixty (60) days prior to the expiration of the certification period.

The agency must not be excluded from participation in Louisiana Medicaid as an entity as evidenced by an open exclusion on the Louisiana State Adverse Actions database, the Office of Inspector General’s (OIG) national exclusions database, or the federal System for Award Management (SAM) database. The agency also must not have an outstanding Medicaid program audit exception or other unresolved financial liability owed to the state.

Changes in the following areas are to be reported in writing to the LDH, Health Standards Section (HSS), to OCDD, and to the fiscal intermediary’s Provider Enrollment Section in at least ten (10) days prior to any change:

1. Ownership;
2. Physical location;

3. Mailing address;

4. Telephone number; and/or

5. Account information affecting electronic funds transfer (EFT).

The provider must complete a new provider enrollment packet when a change in ownership of five percent (5%) to fifty percent (50%) of the controlling interest occurs, but the provider may continue serving beneficiaries. When fifty-one percent (51%) or more of the controlling interest is transferred, a complete re-certification process must occur, and the agency shall not continue serving beneficiaries until the re-certification process is complete. Beneficiaries should be offered a new freedom of choice when this occurs.

Waiver services are to be provided only to persons who are waiver beneficiaries and in strict accordance with the provisions of the approved plan of care (POC) and home and community based services (HCBS) guidance.

Providers may not refuse to serve any waiver beneficiary that chooses their agency unless there is documentation to support an inability to meet the individual’s health, safety, and welfare needs, or all previous efforts to provide services and supports have failed and there remains no option but to refuse services. Such refusal to serve an individual must be made in writing by the provider and include a detailed explanation as to why the provider is unable to serve the individual. Written notification must be submitted to the LGE. Providers who contract with other entities to provide waiver services must maintain copies of such contracts signed by both agencies. Such contracts must state that the subcontractor may not refuse to serve any waiver beneficiary referred to it by the enrolled direct service provider agency.

The beneficiary’s provider and support coordination agency (SCA) must have a written working agreement that includes the following:

1. Written notification of the time frames for POC planning meetings;

2. Timely notification of meeting dates and times to allow for provider participation, which includes all providers who are providing a service on the POC;

3. Information on how the agency is notified when there is a POC or service delivery change; and
4. Assurance that the appropriate provider representative is present at planning meetings as invited by the beneficiary.

The Supports Waiver (SW) services outlined below may be provided by the provider or by an agreement with other contracted agents. The actual provider of the service, whether it is the provider or a subcontracted agent, must meet the following licensure or other qualifications:

<table>
<thead>
<tr>
<th>Waiver Service</th>
<th>Requirements</th>
<th>Service Provided by</th>
</tr>
</thead>
<tbody>
<tr>
<td>Support Coordination</td>
<td><strong>Case Management License</strong>&lt;br&gt;Providers of support coordination for the SW program must have a signed performance agreement with OCDD to provide services to waiver beneficiaries.&lt;br&gt;SCAs must meet all of the performance agreement requirements in addition to any additional criteria outlined in the Case Management Services manual chapter, LAC Title XXI, and the SW Provider Manual.</td>
<td>Provider Type 45: Case Management</td>
</tr>
<tr>
<td>Center-Based Respite</td>
<td><strong>HCBS Provider License</strong>&lt;br&gt;Respite Care Module for a facility</td>
<td>Provider Type 83: Respite</td>
</tr>
<tr>
<td>In-Home Respite</td>
<td><strong>N/A</strong></td>
<td>Provider Type 82: Attendant Care Services</td>
</tr>
<tr>
<td>Personal Emergency Response Systems</td>
<td>Must meet all applicable vendor requirements, federal, state, parish and local laws for installation.</td>
<td>Provider Type 16: Personal Emergency Response Systems</td>
</tr>
<tr>
<td>Habilitation</td>
<td><strong>HCBS Provider License</strong></td>
<td>Provider Type 82, 98, 14 or 13:</td>
</tr>
<tr>
<td>Dental</td>
<td>Current and valid Louisiana license to practice in the field of expertise/specialty</td>
<td>Provider 27: Dental-Individual or Group</td>
</tr>
<tr>
<td>Individual Supported Employment</td>
<td>Employment Specialist has a certification from an approved vendor in a 40 hour supported employment program with 20 hours of employment related training every two years</td>
<td>Provider Type 98: Individual Supported Employment</td>
</tr>
</tbody>
</table>
Provider Requirements

<table>
<thead>
<tr>
<th>Waiver Service</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Group Supported Employment</strong></td>
<td>Employment specialist has a certification from an approved vendor in a 40 hour supported employment program with 20 hours of employment related training every two years OR HCBS Provider license with Adult Day Care (ADC) Module and Employment specialist has a certification from an approved vendor in a 40 hour supported employment program with 20 hours of employment related training every two years</td>
<td>Provider Type 98: Group Supported Employment</td>
</tr>
<tr>
<td><strong>Onsite Prevocational Services/Community Career Planning</strong></td>
<td>HCBS Provider License (ADC Module)</td>
<td>Provider Type 13: Prevocational Habilitation</td>
</tr>
<tr>
<td><strong>Onsite Day Habilitation/Community Life Engagement</strong></td>
<td>HCBS Provider License (ADC Module)</td>
<td>Provider Type 14: Adult Day Habilitation</td>
</tr>
</tbody>
</table>

When required by state law, the person performing the service, must meet all applicable requirements for professional licensure.

**Provider Responsibilities for All Providers**

All providers of SW services are responsible for the following:

1. Ensuring an appropriate representative from the agency attends the POC planning meeting and is an active participant in the team meeting;

   **NOTE:** An appropriate representative is considered to be someone who has knowledge and authority to make decisions about the beneficiary’s service delivery. This person may be a program manager, a direct services professional, case supervisor, or the executive director or designee. An unlicensed direct service worker who works with or will work with the beneficiary is not considered an appropriate representative for the POC planning meeting.

2. Communicating and working with support coordinators and other support team members to achieve the beneficiary’s personal outcomes;
3. Ensuring the provider plan of care documents/attachments are updated and kept current as changes occur, including the beneficiary’s emergency contact information and list of current medications;

4. Informing the support coordinator by telephone or e-mail as soon as the agency recognizes that any goals, objectives or timelines in the POC will not meet the beneficiary’s needs, and such information must be provided no later than ten (10) days prior to the expiration of any timelines in the service plan that cannot be met;

5. An update to the provider’s document should only occur as a result of a documented meeting with the beneficiary or authorized representative where the reason for change is indicated and all parties sign the meeting attendance record;

6. Ensuring the provider agency support team member(s) sign and date any revisions to the service plan indicating agreement with the changes to the goals, objectives, or timelines;

7. Providing the support coordination agency or LDH representatives with requested written documentation, including, but not limited to:
   a. Completed, signed, and dated POC attachment;
   b. Service logs, progress notes, and progress summaries;
   c. Direct service worker (DSW) attendance and payroll records;
   d. Written grievances or complaints filed by beneficiaries/family;
   e. Critical or other incident reports involving the beneficiary; and
   f. Entrance and exit interview documentation.

8. Explaining to the beneficiary/beneficiary’s family in his/her native language, the beneficiary rights and responsibilities within the agency; and

9. Ensuring that beneficiaries are free to make a choice of providers without undue influence.
Note: It is the policy of the Louisiana Department of Health (LDH), Office for Citizens with Developmental Disabilities (OCDD) that all critical incidents for HCBS be reported, investigated and tracked. The statewide incident management system MUST be used for ALL critical incident reporting.

Support Coordination

Support coordination is a service that will assist beneficiaries in gaining access to all of their needed support services, including medical, social, educational, and other services, regardless of the funding source for the services.

Support Coordination Providers

Providers of support coordination for the SW program must have a signed performance agreement with OCDD to provide services to waiver beneficiaries. SCAs must meet all of the performance agreement requirements in addition to any additional criteria outlined by OCDD.

Support Coordination activities include, but are not limited to, the following:

1. Assisting the beneficiary in coordinating and convening the person-centered planning team for the annual POC and/or as needed. Supporting the beneficiary to lead the meeting, which should include those who the beneficiary chooses to participate in the meeting. Those might include, but are not limited to, the beneficiary’s family, friends, direct service provider(s), including the day and/or employment provider, employer (if applicable), medical and social work professionals, as necessary, and advocates, who assist in determining the appropriate supports and strategies needed in order to meet the beneficiary’s needs and preferences;

2. Support coordinator (SC) should participate in training regarding employment and assisting the beneficiary with obtaining employment;

3. Complete a quarterly discussion around employment and the career path with each beneficiary who wants to work;

4. Offer freedom of choice of providers and settings, to include non-disability specific settings to each beneficiary;
5. On-going coordination and monitoring of supports and services included in the beneficiary’s approved POC;

6. Building and implementing the supports and services as described in the POC;

7. Assisting the beneficiary to use the findings of formal and informal assessments to develop and implement support strategies to achieve the personal outcomes defined and prioritized by the beneficiary in the POC;

8. Providing information to the beneficiary on potential community resources, including formal resources and informal/natural resources, which may be useful in developing strategies to support the beneficiary in attaining his/her desired personal outcomes;

9. Assisting with coordinating transportation so that the beneficiary may have access to medical services, community resources and their job;

10. Assisting the beneficiary, families, services providers, and/or the LGE with the problem solving;

11. Assisting the beneficiary to initiate, develop, and maintain informal and natural support networks and to obtain the services identified in the POC, assuring that they meet their individual needs;

12. Advocating on behalf of the beneficiary to assist him or her in obtaining benefits, supports or services (i.e., to help establish, expand, maintain, and strengthen the beneficiary’s information and natural support networks). This may involve calling and/or visiting beneficiaries, community groups, organizations, or agencies with or on behalf of the beneficiary;

13. Training and supporting the beneficiary in self-advocacy (i.e., the selection of providers and utilization of community resources to achieve and maintain his/her desired outcomes);

14. Oversight of the service providers to ensure that the beneficiary receives appropriate services and outcomes as designated in the POC;

15. Assisting the beneficiary to overcome obstacles, recognize potential opportunities, and develop creative opportunities;
16. Meeting with the beneficiary in face-to-face meetings, as well as via telephone contact, as specified. This includes meeting the beneficiary where the services take place. The initial and annual POC meetings are to be done in a face-to-face meeting, preferably in the home, and at least one other meeting during the POC year must be done in a face-to-face manner;

17. Make the determination, using the guidelines provided, to determine if the beneficiary meets the criteria for virtual visits. If the criteria is met, the additional two meetings may be completed virtually, using an allowed source. The meeting may not be conducted telephonically and must be done where the individual and the home may be observed;

18. Reporting and documenting any incidents, complaints, abuse, and/or neglect according to the OCDD policy and in accordance with licensure, state laws, rules, and regulations, as applicable;

19. Arranging any necessary professional/clinical evaluations needed and ensuring beneficiary choice;

20. Identifying, gathering, and reviewing the array of formal assessments and other documents that are relevant to the beneficiary’s needs, interests, strengths, preferences, and desired personal outcomes;

21. Developing an action plan in conjunction with the beneficiary to monitor and evaluate strategies to ensure continued progress toward the beneficiary’s personal outcomes; and

22. On-going discussions with the beneficiary, if they are of working age, about employment including:

   a. Identifying barriers to employment and working to overcome those barriers, connecting the beneficiary to certified work incentive coordinators (CWIC) to do benefits planning;

   b. Assisting the beneficiary in the reporting of income to social security;

   c. Assisting the beneficiary in setting up an Achieving a Better Life Experience (ABLE) account;

   d. Referring the beneficiary to Louisiana Rehabilitation Services (LRS);
Support Coordination Providers Qualifications

Support coordination providers must meet the following requirements:

1. Must be licensed as a support coordination provider; and

2. Meet all requirements as outlined in the Support Coordination Performance Agreement.


Provider Responsibilities for All Residential Care Service Providers

Direct service provider agencies must have written policy and procedure manuals that include, but are not limited to, provisions that govern the following:

1. Training policy that includes orientation and staff training requirements according to the HCBS Providers Licensing Standards, the DSW Registry, and the Class A Child Placing Licensing Standards (as applicable to specific residential service being provided);

2. Direct care abilities, skills, and knowledge requirements that employees must possess in order to adequately perform care and assistance as required by waiver beneficiaries;

3. Employment and personnel job descriptions, hiring practices that include a policy against discrimination, employee evaluation, promotion, disciplinary action, termination, and hearing of employee grievances, staffing, and staff coverage plan;

4. Record maintenance, security, supervision, confidentiality, organization, transfer, and disposal;
5. Identification, notification, and protection of beneficiary’s rights, both verbally and in writing, in a language that the beneficiary/beneficiary’s family is able to understand;

6. Written grievance procedures;

7. Information about abuse and neglect as defined by LDH regulations and state and federal laws;

8. Electronic visit verification (EVV): requirement for proper use of check in/out; acceptable editing of electronically captured services; reporting services when in “no service zones” or failure to clock in/out (Electronic Connectivity form and manual entry); confidentiality of log in information; monitoring of EVV system for proper use;

9. DSW Registry: requirement for accessing the Department’s Adverse Action database for findings placed against the direct service workers prohibiting employment;

10. Criminal history checks: requirement for compliance with state statutes for non-licensed direct care personnel; and

11. DSW Wage floor: requirement for provider agencies to follow the DSW Wage floor established by Louisiana Medicaid and pay the DSWs as directed. The current wage floor can be found in the LAC and OCDD will post a memo on their website (https://ldh.la.gov/subhome/11) and providers will be responsible for following this directive.

**POC Provider Documents**

The direct service provider must complete the provider attachments that are a part of the POC, to include all waiver services that the agency provides to the beneficiary based on the beneficiary’s identified POC goals and other supports required.

The provider documents in the POC must be person-centered, focused on the beneficiary’s desired outcomes, and include the following elements:

1. Specific goals matching the goals outlined in the beneficiary’s approved POC;
2. Measurable objectives and timelines to meet the specified goals, and strategies to meet the objectives;

3. Identification of the direct service provider staff and any other support team members who will be involved in implementing the strategies; and

4. The method that will be used to document and measure the implementation of specified goals and objectives.

The POC provider documents must be reviewed and updated, as necessary, to comply with the specified goals, objectives, and timelines stated in the beneficiary’s approved POC or when changes are necessary based on beneficiary needs.

**Back-up Planning**

Direct service providers are responsible for providing all necessary staff to fulfill the health and welfare needs of the beneficiary when paid supports are scheduled to be provided. This includes during times when the scheduled direct service worker is absent or is unavailable or unable to work for any reason.

All direct service providers are required to develop an individualized back-up plan for each beneficiary that includes detailed strategies and person-specific information that addresses the specialized care and supports needed by the beneficiary.

Direct service providers are required to:

1. Have policies in place which outline the protocols that the agency has established to ensure that back-up direct service workers are readily available;

2. Ensure that lines of communication and chain of command procedures have been established; and

3. Have procedures for dissemination of the back-up plan information to beneficiaries, their authorized representatives, and their support coordinators.

Protocols must also describe how and when the direct support staff will be trained in the care needed by the beneficiary. This training must occur prior to any direct support staff member being solely responsible for a beneficiary.
Back-up plans must be updated as changes occur and, at a minimum, on an annual basis to ensure that the information is kept current and applicable to the beneficiary’s needs. The back-up plan must be submitted to the beneficiary’s support coordinator in a timely manner to be included as a component of the beneficiary’s initial and annual POC.

Direct service providers may not use the beneficiary’s informal support system as a means of meeting the agency’s individualized back-up plan and/or emergency evacuation response plan requirements without documented consent of the informal support system. The beneficiary’s family members and others identified in the beneficiary’s circle of support may elect to provide back-up, but this does not exempt the provider from the requirement of providing the necessary staff for back-up purposes when paid supports are scheduled.

**Emergency Evacuation Planning**

Emergency evacuation plans must be developed in addition to the beneficiary’s individualized back-up plan. Providers must have an emergency evacuation plan that specifies in detail how the direct service provider will respond to potential emergency situations such as fires, hurricanes, tropical storms, hazardous material release, flash flooding, ice storms, and terrorist attacks.

The emergency evacuation plan must be person-specific and include at a minimum the following components:

1. Individualized risk assessment of potential health emergencies;
2. A detailed plan to address the beneficiary’s individualized evacuation needs, including a review of the beneficiary’s individualized back-up plan, during geographical and natural disaster emergencies and all other potential emergency conditions;
3. Policies and procedures outlining the agency’s implementation of emergency evacuation plans and the coordination of these plans with the local Office of Emergency Preparedness and Homeland Security;
4. Establishment of effective lines of communication and chain of command procedures;
5. Establishment of procedures for the dissemination of the emergency evacuation plan to beneficiaries and support coordinators; and
6. Protocols outlining how and when direct service workers and beneficiaries will be trained in the implementation of the emergency evacuation plan and post-emergency procedures.

Training for direct service workers and surety of competency must occur prior to the worker being solely responsible for the support of the beneficiary.

The beneficiary must be provided with regular, planned opportunities to practice the emergency evacuation response plan.

OCDD, support coordination agencies, and direct service provider agencies are responsible for following the established emergency protocol before, during, and after hurricanes or other natural disasters or events as outlined in the “Emergency Protocol for Tracking Location Before, During, and After Hurricanes” document found in the OCDD Guidelines for Support Planning manual. (Refer to Appendix D of this manual chapter for website information).

**Day Habilitation Provider Responsibilities**

The providers who provide Day Habilitation services must possess a current, valid HCBS Provider ADC License to provide day habilitation/community life engagement services and must adhere to the following requirements in order to provide transportation to beneficiaries:

1. Vehicles used in transporting beneficiaries must adhere to the requirements of the HCBS licensing rule;

2. Drivers must have a valid, current Louisiana driver’s license that is applicable to the vehicle being used;

3. The provider must document this service in the beneficiary’s record, and the trip must be documented in the provider’s transportation log, which can be either electronic with GPS tracking or a paper log; and

   **NOTE:** The log is not required to be filed in the beneficiary’s record file, but must contain information that identifies the beneficiary, the time of pick up, and the time of drop off. It shall also be available upon request for review by any Louisiana state agency, including LGE and Support Coordination.

4. Vehicles used in transporting beneficiaries must:
   
a. Be in good condition and repair;
b. Have a current Louisiana inspection sticker; and

c. Have a first aid kit on board.

Supported Employment Provider Responsibilities

Supported Employment providers must maintain documentation in the file of each individual beneficiary that the services are not available to the beneficiary in programs funded under 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 (26) and (29.)], if available. LRS does not fund group employment, only individual employment. Therefore, if an individual is seeking group employment, this does not apply.

The employment specialist must possess a current certification from an accepted Supported Employment training program and the continuing education hours required (20 every two years). The provider may also have a valid HCBS Provider ADC license, but this is not a requirement to provide supported employment services in the community.

Supported Employment providers who have an ADC license must adhere to the following requirements in order to provide transportation to beneficiaries:

1. Vehicles used in transporting beneficiaries must adhere to the requirements of the HCBS licensing rule;

2. Drivers must have a valid, current Louisiana driver’s license applicable to the vehicle being used;

3. The provider must document this service in the beneficiary’s record, and the trip must be documented in the provider’s transportation log, which can be either electronic with GPS tracking or a paper log; and

   **NOTE:** The log is not required to be filed in the beneficiary’s record file, but must contain information that identifies the beneficiary, the time of pick up, and the time of drop off. It shall also be available upon request for review by any Louisiana state agency, including LGE and Support Coordination.

4. Vehicles used in transporting beneficiaries must:
   a. Be in good condition and repair;
b. Have a current Louisiana inspection sticker; and

c. Have a first aid kit on board.

Providers must have a documented quarterly discussion with individuals who are working in group employment or individual employment.

The discussion should include the following:

1. Is the individual happy with the current job?

2. Is the individual interested in additional hours or advancement on the job?

In addition to these questions, if the individual is working in group employment:

1. Is the individual interested in finding individual employment in the community?

2. Is the individual interested in career planning services?

3. Is the individual interested in additional hours or advancement?

Prevocational Provider Responsibilities

The provider must maintain documentation in the file of each individual beneficiary receiving Prevocational services that the services are not available to eligible beneficiaries in programs funded under 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 (26) and (29)], if available.

The service provider must adhere to the following requirements in order to provide transportation to beneficiaries:

1. Vehicles used in transporting beneficiaries must adhere to the requirements of the HCBS licensing rule;

2. Drivers must have a valid, current Louisiana driver’s license that is applicable to the vehicle being used;

3. The provider must document this service in the beneficiary’s record, and the trip
must be documented in the provider’s transportation log; and

4. The vehicles used in transporting beneficiaries must:
   a. Be in good condition and repair;
   b. Have a current Louisiana inspection sticker; and
   c. Have a first aid kit on board.

Providers should review the progress made on the Individual Career Planning (ICP) Profile on a quarterly basis. The provider must have a documented quarterly discussion with individuals who are in this service to include the following:

1. Review of the ICP Profile and the progress made thus far;

2. Is the individual still interested in finding employment;

3. Potential employment opportunities in the community; and

4. Ensure the individual is still interested in career planning services.
Support coordination, which is also referred to as case management, is a waiver service that is provided to all Supports Waiver (SW) beneficiaries. Support coordination is an organized system by which a support coordinator (SC) assists a beneficiary to prioritize and define his/her personal outcomes and to identify, access, coordinate and monitor appropriate supports and services within a community service network. Beneficiaries may have multiple service needs and require a variety of community resources.

Core Elements

Support coordination agencies (SCAs) are required to perform the following:

1. Intake;
2. Assessment;
3. Plan of care (POC) development and implementation;
4. Follow-up/monitoring;
5. Reassessment; and
6. Transition/closure.

Intake

Intake serves as an entry point into the Waiver and is used to gather baseline information to determine the beneficiary’s medical eligibility for waiver services, service needs, appropriateness for services, including support coordination.

Intake Procedures

Referrals for support coordination services are only made from the Office for Citizens with Developmental Disabilities (OCDD) through the Medicaid data management contractor. The applicant must be interviewed to obtain the required information regarding their demographics, preferably through a face-to-face interview in the applicant’s home,
within three working days of receipt of the Freedom of Choice (FOC) form.

The POC process begins with an initial face-to-face meeting in the beneficiary’s home. The SC requests and gathers medical, social, educational and psychological documentation necessary to complete the POC.

The local governing entity (LGE) will transfer the eligibility documents along with the transfer of records to the SCA. Prior authorization to cover services from the beginning date of the POC will be issued upon approval of the POC.

The SC must determine whether the applicant:

1. Has a need for immediate support coordination intervention; and
2. Is receiving support coordination service or other services from another provider or community resource.

**NOTE:** If the applicant is receiving support coordination from another OCDD provider, the OCDD State Office Support Coordination Program Manager must be contacted to correct the linkage. (See Appendix C for contact information).

Applicants who are receiving support coordination from another provider must remain with their current provider until approved for the waiver. Requests to change to a different SCA may be made following waiver certification. Refer to the “Changing Support Coordination Agencies” subsection at the end of this section.

The SC must obtain signed release forms and have the applicant/authorized representative sign a standardized intake form that documents the applicant/authorized representative:

1. Was informed of procedural safeguards;
2. Was informed of their rights along with grievance procedures;
3. Was advised of their responsibilities;
4. Accepted support coordination service;

5. Was advised of the right to change support coordination providers, SCs, and/or service providers; and

6. Was advised that waiver services and support coordination service are an alternative to institutionalization.

If SW services are not appropriate to meet the applicant’s needs, or if the applicant does not meet the eligibility requirements for waiver services, the applicant should be notified immediately, given appeal rights and directed to other service options or to the source of the initial referral, or begin the process for moving to the Residential Options Waiver (ROW) using the tiered waiver process.

Assessment

Assessment is the process of gathering and integrating informal and formal/professional information relevant to the development of an individualized POC. The information should be based on, and responsive to, the beneficiary’s current service needs, desired personal outcomes and functional status. The assessment provides the foundation for support coordination service by defining the beneficiary’s needs and assisting in the development of the POC.

Assessment Process

The SC must conduct the person-centered support assessment which consists of the following:

1. Face-to-face home interviews with the beneficiary/beneficiary’s family or guardian/authorized representative;

2. Direct observation of the beneficiary;

3. Direct contact with family, other natural supports, professionals and support/service providers as indicated by the situation and the desires of the beneficiary; and

4. Freedom of choice of all services, support coordination and alternative to
institutionalization.

Characteristics and components of the assessment include:

1. Identifying information (demographics);
2. Use of a standardized instrument for certain targeted populations;
3. Personal outcomes identified, defined and prioritized by the beneficiary;
4. Medical/physical information;
5. Psycho social/behavioral information;
6. Developmental/intellectual information;
7. Socialization/recreational information including the social environment and relationships that are important to the beneficiary;
8. Patterns of the beneficiary’s everyday life;
9. Financial resources;
10. Educational information;
11. Employment discussion that includes past and present employment, or if the person has never worked a discussion about looking for employment, including benefits planning and how employment can improve their life;
12. Daily activities, including how they spend their time and in what hobbies they participate (e.g., church, clubs, volunteering, etc.);
13. Housing/physical environment of the beneficiary;
14. Information about previously successful and unsuccessful strategies to achieve the desired personal outcomes;
15. Information relevant to understanding the supports and services needed by
the beneficiary to achieve the desired personal outcomes, (e.g., input from formal and informal service providers and caregivers as relevant to the personal outcomes); and

16. Identification of areas where a professional evaluation is necessary to determine appropriate services or interventions.

It is the responsibility of the SC to assist the beneficiary to arrange any professional/clinical evaluations that are needed to develop strategies for obtaining the services, resources, and supports necessary to achieve his/her desired personal outcomes while ensuring beneficiary choice. The SC must identify, gather, and review the array of formal assessments and other documents that are relevant to the beneficiary’s needs, interests, strengths, preferences, and desired personal outcomes. A signed authorization must be obtained from the beneficiary or authorized representative to secure appropriate services. A signed authorization for release of information must be obtained and filed in the case record.

NOTE: Evaluations, tests, and/or reports are not covered support coordination activities. The necessary medical, psychological, psycho social, and/or other clinical evaluations, tests, etc., may be covered by Medicaid or other funding sources.

Time Frame for Initial Assessment

The initial assessment must begin within seven calendar days and be completed within 30 calendar days following the referral/linkage.

Ongoing Assessment Procedures

The assessment must be ongoing to reflect changes in the beneficiary’s life and the changing of prioritized personal outcomes over time. These changes include strengths, needs, preferences, abilities, and the resources of the beneficiary. If there are significant changes in the beneficiary’s status or needs, the SC must revise the POC.

Plan of Care Development and Implementation

The POC is the analysis of information from the formal evaluations and the person-centered supports assessment, and is based on the unique personal outcomes identified, defined and prioritized by the beneficiary.
The POC is developed through a collaborative process involving the beneficiary and the persons who the beneficiary chooses to participate in the process. This may include family, friends or other support systems, the SC, appropriate professionals/service providers, and others who best know the beneficiary.

The purpose of the POC is to:

1. Establish direction for all persons involved in providing supports and services for the beneficiary by describing how the needed supports and services interact to form overall strategies that assist the beneficiary to maintain or achieve the desired personal outcomes of their choice;

2. Provide a process for ensuring that the paid medical services and other resources are deemed medically necessary and meet the needs and desires of the beneficiary, including health and welfare, as determined by the assessment and that these services and supports are provided in a cost-effective manner; and

3. Represent a strategy for ensuring that services received are the choice of the beneficiary, are appropriate and available, and are responsive to the beneficiary’s changing outcomes, desires, and needs as updated in the assessment.

The POC should not be considered a treatment plan of specific clinical interventions that service providers would use to achieve treatment or rehabilitation goals. Instead, the POC should be considered a “master plan” consisting of a comprehensive summary of information to aid the beneficiary to obtain assistance from formal and informal service providers, as it relates to obtaining and maintaining the desired personal outcomes of the beneficiary.

**Required Procedures**

The initial and annual POC must be completed in a face-to-face home visit at a time that is convenient for the beneficiary. The initial and annual POC must include the beneficiary and the service provider, and may include members of the support network; the support network, may include family members, appropriate professionals, persons, who are well acquainted with the beneficiary, and who the beneficiary chooses to invite.
Support Coordination

The POC must:

1. Be outcome-oriented, individualized and updated on at least an annual basis. The planning process should include tailoring the POC to the beneficiary’s needs and desires based on the on-going personal outcomes assessment. It must develop mutually agreed upon strategies to achieve or maintain the desired personal outcomes, which rely on informal, natural community supports, and appropriate formal paid services. The beneficiary, SC, members of the support system, direct service providers, and appropriate professional personnel must be directly involved in the development of the POC;

2. Assist the beneficiary in making informed choices, including the choice to receive services in a non-disability specific setting, and regarding all aspects of supports and services needed to achieve their desired personal outcomes. This involves assisting the beneficiary to identify specific, realistic needs, and choices for the POC. It must also assist the beneficiary in developing an action plan which will lead to the implementation of strategies to achieve the desired personal outcomes, including action steps, review dates, and individuals who will be responsible for specific steps;

3. Incorporate steps that empower and help the beneficiary to develop independence, growth, and self-management; and

4. Be written in a language that is understandable to all parties involved. Specific problems due to a diagnosis or situation that causes a problem for the beneficiary must be clearly explained. The POC must be approved prior to issuance of any prior authorization.

Required Components

The POC must incorporate the following required components and shall be prepared by the SC with the chosen service provider, beneficiary, parent/family and others, at the request of the beneficiary:

1. Beneficiary’s prioritized personal outcomes and specific strategies to achieve or maintain the desired personal outcomes, focusing foremost on informal natural/community supports and if needed, paid formal services;
2. Budget payment mechanism, as applicable;

3. Target/resolution dates for the achievement/maintenance of personal outcomes;

4. Assigned responsibilities;

5. Identified preferred formal and informal support/service providers and the specific service arrangements;

6. Identified individuals who will assist the SC in planning, building/implementing supports, or direct services;

7. Ensured flexibility of frequency, intensity, location, time, and method of each service or intervention, and is consistent with the POC and beneficiary’s desired outcomes;

8. Change in a waiver service provider(s) can only be requested by the beneficiary at the end of a six-month linkage unless there is “good cause.” Any request for a change requires a completion of a FOC form. A change in support coordination providers is to be made through the Medicaid data management contractor. A change in direct service providers is to be made through the SC;

9. All participants present at the POC meeting must sign the POC;

10. The POC must be completed and approved as per POC instructions; and

11. The beneficiary must be informed of his/her right to refuse a POC after carefully reviewing it.

**Building and Implementing Supports**

The implementation of the POC involves arranging for, building, and implementing a continuum of both informal supports and formal/professional services that will contribute to the achievement of the beneficiary’s desired personal outcomes.
Responsibilities of the SC include:

1. Building and implementing the supports and services as described in the POC;

2. Assisting the beneficiary/beneficiary’s family to use the findings of formal and informal assessments to develop and implement support strategies to achieve the personal outcomes defined and prioritized by the beneficiary in the POC;

3. Being aware of and providing information to the beneficiary/beneficiary’s family on potential community resources, including formal resources (Supplemental Nutrition Assistance Program (SNAP), Supplemental Security Income (SSI), housing, Medicaid, benefits planning, Louisiana Rehabilitation Services (LRS), etc.) and informal/natural resources, which may be useful in developing strategies to support the beneficiary in attaining his or her desired personal outcomes;

4. Assisting with problem solving with the beneficiary, supports, and service providers;

5. Assisting the beneficiary to initiate, develop, and maintain informal and natural support networks, and to obtain the services identified in the POC, assuring that they meet the beneficiary’s individual needs and desires;

6. Advocating on behalf of the beneficiary to assist in obtaining benefits, supports, or services, e.g., to help establish, expand, maintain, and strengthen the beneficiary’s informal and natural support networks by calling and/or visiting beneficiaries, community groups, organizations, or agencies with or on behalf of the beneficiary;

7. Training, supporting and/or connecting the beneficiary in self-advocacy groups, e.g., selection of providers and utilization of community resources to achieve and maintain the desired outcomes;

8. Overseeing the service providers to ensure that the beneficiary receives appropriate services and outcomes as designed in the POC;

9. Assisting the beneficiary to overcome obstacles, recognize potential
opportunities, and develop creative opportunities;

10. Monthly phone calls with the beneficiary; and

11. Meeting with the beneficiary face-to-face in the beneficiary’s home, for each initial and/or annual POC development, and for at least one other quarterly meeting. These quarterly meetings may happen on a more frequent basis if so requested by the beneficiary/beneficiary’s family and that such meetings can be completed in the day program. If the beneficiary meets the criteria for virtual visits and requests a virtual visit, the remaining two quarterly meetings may be completed using a virtual delivery format.

**NOTE:** Advocacy is defined as assuring that the beneficiary receives appropriate supports and services of high quality and locating additional services not readily available in the community.

**Required Time Frames**

1. **Linkage:**
   The initial POC must be completed and received by the LGE within 35 calendar days following the date of the notification of linkage by the data management contractor. All incomplete packages will be returned.

2. **Revisions to the POC:**
   Revisions must be submitted ten working days prior to the change.

3. **Emergencies:**
   Emergency changes must be submitted within 24 hours or the next working day following the change.

4. **Reviews:**
   a. At a minimum, the POC should be reviewed on a quarterly basis to ensure that the personal outcomes and support strategies are consistent with the needs and desires of the beneficiary; and

   b. At a minimum, the POC must be revised on an annual basis or as otherwise needed, but in no case shall it be revised later than thirty-five (35) days prior to expiration. The POC may be submitted as early as sixty (60) days prior to expiration, provided the form 90-L
Changes in the Plan of Care

If there are significant changes to the POC (i.e., adding or deleting services) in the way that the beneficiary prioritizes his or her personal outcomes, and/or if there are significant changes to the support strategies or service providers, the SC must revise the POC to reflect these changes. A revision request must be submitted to the LGE for approval on all beneficiaries. Whenever possible, additional service needs should be anticipated and planned for in the initial/annual POC during the POC meeting. When an unidentified need is identified 10 or more business days prior to the change, a POC Revision request should be submitted and will be processed within ten (10) business days. The revision should be marked as “routine”. If an unanticipated need is identified less than ten (10) business days prior to the needed change, the POC revision request must be identified as “urgent” and the additional responsibilities for the Provider and SC must be assumed. For “urgent” requests, the box must be checked. An urgent need exists when there is an unplanned/unpredictable event which requires urgent changes to waiver services and/or changes in the service provider. Urgent changes are defined as changes that must begin in fewer than ten (10) business days off receipt by the LGE.

Initiating a Change in the Plan of Care

The beneficiary/beneficiary’s family will contact the SC when a change is required. The SC will call a meeting with the service provider(s) to complete the POC revision form. All participants attending the meeting will sign the POC revision, and it will be submitted to the LGE for approval. The SC will notify the service provider and beneficiary of the approval/disapproval.

NOTE: The annual expiration date of the POC should never change.

Documentation

A copy of the approved POC must be kept at the beneficiary’s home, in the beneficiary’s case record at the SCA, and in the service provider’s files. The SC is responsible for providing the copies.

A copy of the POC must be made available to all staff directly involved with the beneficiary.
Follow-up/monitoring

POC monitoring should be completed monthly, quarterly and annually using the Support Coordination Documentation form.

All visits and contacts should be documented in the case record using monthly progress notes. Progress notes may be brief as long as all components are addressed. Information documented in the progress notes do not need to be duplicated in the case record.

Monthly progress notes must address personal outcomes separately and reflect the beneficiary’s interpretation of the outcomes. Monthly progress notes shall include:

1. Desired personal outcomes;
2. Strategies to achieve the outcomes;
3. Effectiveness of the strategies;
4. Obstacles to achieving the desired outcomes;
5. New opportunities; and
6. Developing a new action plan.

Reassessment/Working Plan of Care

Assessment must be ongoing to reflect changes in the beneficiary’s life and the changing prioritized personal outcomes over time, such as strengths, needs, preferences, abilities, and the beneficiary’s resources. Reassessment is the process by which the baseline assessment is reviewed and information is gathered for evaluating and revising the ‘working’ POC.

A reassessment is required when a major change occurs in the status of the beneficiary, the beneficiary’s family, or the beneficiary’s prioritized needs. A reassessment must be completed within seven (7) calendar days of notice of a change in the beneficiary’s status.

NOTE: The beneficiary/family may request a complete POC review by the LGE at any
time during the POC year if it is felt that the POC is unsatisfactory or is inadequate in meeting the beneficiary’s service needs.

**Annual Reassessment**

A completed annual reassessment package must be received by the LGE no later than thirty-five (35) calendar days, but as early as sixty (60) calendar days prior to expiration of the POC, provided the form 90-L does not expire prior to the POC expiration date. Incomplete packages will not be accepted. SCs will be responsible for retrieving incomplete packages from the LGE. Sanctions will be applied.

**SCA Approval Authority of SW Annual Plan of Care**

SCs have limited POC approval authority as authorized by OCDD. Approval of a POC for an annual reassessment shall be limited to those cases where:

1. The beneficiary’s health and welfare can be assured;
2. There are no changes in waiver services; and
3. The current waiver services are meeting the needs of the beneficiary.

**NOTE:** All necessary documentation must be submitted to the LGE with a copy of the approved POC.

**Transition/Closure**

The transition or closure of support coordination services must occur in response to the request of the beneficiary or when it is determined that the beneficiary is no longer eligible for services. The closure process must ease the transition to other services or care systems outside of waiver.

**Closure Criteria**

Criteria for closure of waiver and support coordination services include, but are not limited to, the following:

1. The beneficiary requests termination of services;
2. Death;

3. Permanent relocation of the beneficiary out of the service area (transfer to another region) or out of state;

4. Long-term admission to an institution or nursing facility;

5. The beneficiary requires a level of care beyond that which can safely be provided through waiver services; or

6. Beneficiary refuses to comply with support coordination.

Procedures for Transition/Closure

The SC must provide assistance to the beneficiary and to the receiving agency during a transition to assure the smoothest possible transition. Transition/closure decisions should be reached with the full participation of the beneficiary/family. As part of the transition/closure procedure, SCs must:

1. Notify the beneficiary/beneficiary’s family immediately if the beneficiary becomes ineligible for services;

2. Complete a final written reassessment identifying any unresolved problems or needs and discuss methods of negotiating their own service needs with the beneficiary;

3. Notify the service provider(s) immediately if services are being transitioned or closed; and

4. Assure the receiving agency, program or SC receives copies of the most current POC and related documents. (The form 148-W must be completed to reflect the date on the transfer of records and submitted to the LGE).

As part of the transition/closure procedure, the SCA must:

1. Notify the LGE of the transition/closure four weeks prior to the closure to allow the LGE to establish a transition plan;
2. Follow their own policies and procedures regarding intake and closure; and

3. Serve as a resource to beneficiaries who choose to assume responsibility for coordinating some or all of their own services and supports, or who choose to ask a member of their network of support to assume some or all of these responsibilities. All closures must be entered into the database immediately.

NOTE: An agency shall not close a beneficiary’s case when there is a pending appeal. The case may be closed only upon receipt of the appeal decisions. If an appeal is requested within ten days, the case remains open. If an appeal is not requested within ten days, the case will be closed.

The agency shall not retaliate in any way against the beneficiary for terminating services or transferring to another agency for support coordination services.

Changing Support Coordination Agencies

When a beneficiary selects a new support coordination provider, the data management contractor will link the beneficiary to the new provider. The new support coordination provider must:

1. Complete the FOC file transfer;

2. Obtain the case record and authorized signature; and

3. Inform the transferring SCA.

Upon receipt of the completed form, the transferring provider must provide copies of the following information:

1. Most current POC;

2. Current assessments on which the POC is based;

3. Number of services used in the calendar year;
4. Most recent six months of progress notes; and

5. Form 90-L.

The transferring support coordination provider shall continue to provide services until the records are transferred to the receiving provider and the transferring provider is eligible to bill for support coordination services after the dated notification is received (transfer of records) by the receiving agency. In the month the transfer occurs, the receiving agency shall begin providing services within three days after the transfer of records and is eligible to bill for services the first full month after the transfer of records. The receiving agency must submit the required documentation to the LGE and Medicaid data management contractor to begin prior authorization immediately after the transfer of records.

Other Support Coordination Responsibilities

Reporting of Incidents, Accidents and Complaints

The SC must report and document any complaint, incident, accident, suspected case of abuse, neglect, exploitation or extortion to the OCDD, Health Standards Section (HSS), and other appropriate agency as mandated by law. All suspected cases of abuse (physical, mental, and/or sexual), neglect, exploitation or extortion must be reported to the appropriate authorities. Refer to Section 43.6 – Incidents, Accidents and Complaints of this manual chapter for additional instructions.
DEVELOPMENTAL DISABILITY LAW

A developmental disability is defined by the Developmental Disability Law (Revised Statutes 28:451.1-28:455.2). The law states that a developmental disability means either:

1. A severe chronic disability of a person that:
   a. Is attributable to an intellectual or physical impairment or combination of intellectual and physical impairments;
   b. Is manifested before the person reaches age twenty-two;
   c. Is likely to continue indefinitely;
   d. Results in substantial functional limitations in three or more of the following areas of major life activity:
      i. Self-care;
      ii. Receptive and expressive language;
      iii. Learning;
      iv. Mobility;
      v. Self-direction;
      vi. Capacity for independent living; or
   e. Is not attributed solely to mental illness; and
   f. Reflects the person’s need for a combination and sequence of special, interdisciplinary, generic care, treatment, or other services which are of lifelong or extended duration and are individually planned and coordinated.

OR

2. A substantial developmental delay or specific congenital or acquired condition in a person from birth through age nine which, without services and support, has a high
probability of resulting in criteria that, later in life, may be considered to be a developmental disability.
The following chart describes the codes and rates that are to be used with the Supports Waiver. Providers must bill the appropriate procedure code for the service performed.

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<tr>
<th>HIPPA CODE NAME</th>
<th>SERVICE DESCRIPTION</th>
<th>HIPAA CODE</th>
<th>MODIFIER</th>
<th>2nd MODIFIER</th>
<th>RATE</th>
<th>STANDARD UNIT OF SERVICE</th>
<th>HOURS PER UNIT</th>
<th>ANNUAL SERVICE LIMITS</th>
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</table>
CONTACT INFORMATION

Office for Citizens with Developmental Disabilities and Local Governing Entities

Contact information for the central office and the regional local governing entities (LGEs) is found on the Office for Citizens with Developmental Disabilities (OCDD) website at: http://dhh.louisiana.gov/index.cfm/page/134/n/137.

Appeals

<table>
<thead>
<tr>
<th>OFFICE NAME</th>
<th>TYPE OF ASSISTANCE</th>
<th>CONTACT INFORMATION</th>
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<tbody>
<tr>
<td>Louisiana Department of Health (LDH) Health Standards Section</td>
<td>Office to contact to report changes that affect provider license</td>
<td>Health Standards Section</td>
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<tr>
<td></td>
<td></td>
<td>P.O. Box 3767</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Baton Rouge, LA 70821</td>
</tr>
<tr>
<td></td>
<td></td>
<td>or (225) 342-0138</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Fax: (225) 342-5073</td>
</tr>
<tr>
<td>Division of Administrative Law – Health and Hospitals Section</td>
<td>Office to contact to file an appeal request</td>
<td>Division of Administrative Law - Health and Hospitals Section</td>
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<tr>
<td></td>
<td></td>
<td>P. O. Box 44033</td>
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<tr>
<td></td>
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<tr>
<td></td>
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<td>(225) 342-1800</td>
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<td></td>
<td></td>
<td>Fax: (225) 342-1812</td>
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<tr>
<td>Gainwell Technologies (formerly Molina) Provider Enrollment Section</td>
<td>Office to contact to report changes in agency ownership, address, telephone number or account information affection electronic funds transfer</td>
<td>Gainwell Technologies Provider Enrollment Section</td>
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<tr>
<td></td>
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<td>P. O. Box 80159</td>
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<tr>
<td></td>
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<td>Baton Rouge, LA 70898-0159</td>
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<td></td>
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<td>(225) 216-6370</td>
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<tr>
<td>Gainwell Technologies (formerly Molina) Provider Relations Unit</td>
<td>Office to contact to obtain assistance with questions regarding billing information</td>
<td>Gainwell Technologies Provider Relations Unit</td>
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<tr>
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<td>1-800-473-2783 or 225-924-5040</td>
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<tr>
<td>Department of Children and Family Services – Local Child Protection Hotline</td>
<td>Office to contact to report suspected cases of abuse, neglect, exploitation or extortion of a beneficiary under the age of 18</td>
<td>Refer to the Department of Children and Family Services website at: <a href="http://www.dcfslouisiana.gov">http://www.dcfslouisiana.gov</a> under the “Report Child Abuse/Neglect” link</td>
</tr>
<tr>
<td>Adult Protective Services</td>
<td>Office to contact to report suspected cases of abuse, neglect, exploitation or extortion of a beneficiary aged 18-59 or an emancipated minor</td>
<td>Louisiana Department of Health Office of Aging and Adult Services 1-800-898-4910</td>
</tr>
<tr>
<td>---------------------------</td>
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<tr>
<td>Elderly Protective Services</td>
<td>Office to contact to report suspected cases of abuse, neglect, exploitation or extortion of a beneficiary aged 60 or older</td>
<td>Governor’s Office of Elderly Affairs <a href="http://goea.louisiana.gov">http://goea.louisiana.gov</a></td>
</tr>
</tbody>
</table>
## FORMS AND LINKS

This section contains a list of the forms, handbooks and other documents that are used in the Supports Waiver program and the associated web links where the information can be obtained. Providers are required to follow the policy and procedures that are outlined for each of the documents utilized in the Supports Waiver.

For additional documents and forms that may be utilized in the Supports Waiver use this link: [http://www.ldh.la.gov/index.cfm/newsroom/detail/1564](http://www.ldh.la.gov/index.cfm/newsroom/detail/1564)

<table>
<thead>
<tr>
<th>Form/Document Name</th>
<th>Web Address</th>
</tr>
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<tbody>
<tr>
<td>Job Assessment, Job Discovery, and Job Development Completion Form</td>
<td><a href="http://ldh.la.gov/assets/docs/OCDD/publications/OCDDWSSPF07001SWJAJDJDForm032707.pdf">http://ldh.la.gov/assets/docs/OCDD/publications/OCDDWSSPF07001SWJAJDJDForm032707.pdf</a></td>
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<td>Rights and Responsibilities Form (Beneficiary)</td>
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<td>Bureau of Health Services Financing (BHSF) Form 90-L</td>
<td><a href="http://www.ldh.la.gov/assets/docs/OCDD/waiver/NOW/90LForm0318Fillable.pdf">http://www.ldh.la.gov/assets/docs/OCDD/waiver/NOW/90LForm0318Fillable.pdf</a></td>
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CLAIMS FILING

Hard copy billing of waiver services are billed on the paper CMS-1500 (02/12) claim form or electronically on the 837P Professional transaction. Instructions in this appendix are for completing the CMS-1500; however, the same information is required when billing claims electronically. Items to be completed are listed as required, situational or optional.

Required information must be entered in order for the claim to process. Claims submitted with missing or invalid information in these fields will be returned unprocessed to the provider with a rejection letter listing the reason(s) the claims are being returned, or will be denied through the system. These claims cannot be processed until corrected and resubmitted by the provider.

Situational information may be required, but only in certain circumstances as detailed in the instructions that follow.

Paper claims should be submitted to:

Gainwell Technologies
P.O. Box 91020
Baton Rouge, LA  70821

Services may be billed using:

1. The rendering provider’s individual provider number as the billing provider number for independently practicing providers; or

2. Group provider number as the billing provider number and the individual rendering provider number as the attending provider when the individual is working through a ‘group/clinic’ practice.

NOTE: Electronic claims submission is the preferred method for billing. (See the EDI Specifications located on the Louisiana Medicaid web site at www.lamedicaid.com, directory link “HIPAA Information Center, sub-link “5010v of the Electronic Transactions” – 837P Professional Guide).
This appendix includes the following:

1. Instructions for completing the CMS-1500 claim form and a sample of a completed CMS-1500 claim form; and

2. Instructions for adjusting/voiding a claim and a sample of an adjusted CMS-1500 claim form.

**CMS 1500 (02/12) Instructions for Waiver Services**

In order to access the CMS 1500 (02/12) instructions for waiver services and to view sample forms, use the following link:

https://www.lamedicaid.com/Provweb1/billing_information/CMS_1500.htm

**NOTE:** You must write “WAIVER” at the top center of the claim form.

**ADJUSTING/VOIDING CLAIMS**

An adjustment or void may be submitted electronically or by using the CMS-1500 (02/12) form.

Only a paid claim can be adjusted or voided. Denied claims must be corrected and resubmitted – not adjusted or voided.

Only one claim line can be adjusted or voided on each adjustment/void form.

For those claims where multiple services are billed and paid by service line, a separate adjustment/void form is required for each claim line if more than one claim line on a multiple line claim form must be adjusted or voided.

The provider should complete the information on the adjustment exactly as it appeared on the original claim, changing only the item(s) that was in error and noting the reason for the change in the space provided on the claim.
If a paid claim is being voided, the provider must enter all the information on the void from the original claim exactly as it appeared on the original claim. After a voided claim has appeared on the remittance advice, a corrected claim may be resubmitted (if applicable).

Only the paid claim's most recently approved internal control number (ICN) can be adjusted or voided; thus:

1. If the claim has been successfully adjusted previously, the most current ICN (the ICN of the adjustment) must be used to further adjust the claim or to void the claim; or

2. If the claim has been successfully voided previously, the claim must be resubmitted as an original claim. The ICN of the voided claim is no longer active in claims history.

If a paid claim must be adjusted, almost all data can be corrected through an adjustment with the exception of the Provider Identification Number and the Beneficiary/Patient Identification Number. **Claims paid to an incorrect provider number or for the wrong Medicaid beneficiary cannot be adjusted. They must be voided and corrected claims submitted.**

**Adjustments/Voids Appearing on the Remittance Advice**

When an Adjustment/Void Form has been processed, it will appear on the Remittance Advice under *Adjustment or Voided Claim*. The adjustment or void will appear first. The original claim line will appear in the section directly beneath the Adjustment/Void section.

The approved adjustment will replace the approved original and will be listed under the "Adjustment" section on the RA. The original payment will be taken back on the same RA and appear in the "Previously Paid" column.

When the void claim is approved, it will be listed under the "Void" column of the RA.

An Adjustment/Void will generate Credit and Debit Entries which appear in the Remittance Summary on the last page of the Remittance Advice.

*Sample forms are on the following pages.*
SAMPLE WAIVER CLAIM FORM ADJUSTMENT WITH ICD-10 DIAGNOSIS CODE

(DATES ON OR AFTER 10/01/15)