

**Application for**

**Section 1915(b) (4) Waiver**

**Fee-for-Service**

**Selective Contracting Program**

June, 2012

## Table of Contents

Facesheet	3
Section A – Waiver Program Description	4
Part I: Program Overview	
Tribal Consultation	4
Program Description	4
Waiver Services	4
A. Statutory Authority	4
B. Delivery Systems	4
C. Restriction of Freedom-of-Choice	5
D. Populations Affected by Waiver	5
Part II: Access, Provider Capacity and Utilization Standards	
A. Timely Access Standards	6
B. Provider Capacity Standards	6
C. Utilization Standards	6
Part III: Quality	
A. Quality Standards and Contract Monitoring	7
B. Coordination and Continuity-of-Care Standards	7
Part IV: Program Operations	
A. Beneficiary Information	8
B. Individuals with Special Needs	8
Section B – Waiver Cost-Effectiveness and Efficiency	8

# Application for Section 1915(b) (4) Waiver Fee-for-Service (FFS) Selective Contracting Program

## Facesheet

The **State** of \_\_\_\_\_ requests a waiver/amendment under the authority of section 1915(b) of the Act. The Medicaid agency will directly operate the waiver.

CT Home Care and Community Based Services Freedom of

The **name of the waiver program** is Choice Waiver.

(List each program name if the waiver authorizes more than one program.).

**Type of request.** This is:

☐ an initial request for new waiver. All sections are filled.

☐ a request to amend an existing waiver, which modifies Section/Part \_\_\_\_\_

☐ a renewal request

Section A is:

☐ replaced in full

☐ carried over with no changes

☐ changes noted in **BOLD**.

Section B is:

☐ replaced in full

☐ changes noted in **BOLD**.

**Effective Dates:** This waiver/renewal/amendment is requested for a period of dd years beginning \_\_\_\_\_ and ending \_\_\_\_\_.

**State Contact:** The State contact person for this waiver is \_\_\_\_\_ and can be reached by telephone at (\_\_\_\_) \_\_\_\_\_, or fax at (\_\_\_\_) \_\_\_\_\_, or e-mail at \_\_\_\_\_.

(List for each program)

## **Section A – Waiver Program Description**

### **Part I: Program Overview**

#### **Tribal Consultation:**

Describe the efforts the State has made to ensure that Federally-recognized tribes in the State are aware of and have had the opportunity to comment on this waiver proposal (if additional space is needed, please supplement your answer with a Word attachment).

#### **Program Description:**

Provide a brief description of the proposed selective contracting program or, if this is a request to amend an existing selective contracting waiver, the history of and changes requested to the existing program. Please include the estimated number of enrollees served throughout the waiver (if additional space is needed, please supplement your answer with a Word attachment).

#### **Waiver Services:**

Please list all existing State Plan services the State will provide through this selective contracting waiver (if additional space is needed, please supplement your answer with a Word attachment).

The State will be offering case management services covered in the State's 1915(c) HCBS waiver for Elders, the Personal Care Assistance Waiver and the State's 1915(i) State Plan HCBS benefit through this selective contracting waiver. Connecticut will combine a 1915(c) HCBS waiver and 1915(i) State Plan HCBS benefit with this 1915(b)(4) waiver to provide case management to 1915(c) and 1915(i) clients as a selective contracting service.

## A. Statutory Authority

1. **Waiver Authority.** The State is seeking authority under the following subsection of 1915(b):

☐ **1915(b) (4) - FFS Selective Contracting program**

2. **Sections Waived.** The State requests a waiver of these sections of 1902 of the Social Security Act:

- a. ☐ **Section 1902(a) (1) - Statewideness**
- b. ☐ **Section 1902(a) (10) (B) - Comparability of Services**
- c. ☐ **Section 1902(a) (23) - Freedom of Choice**
- d. ☐ **Other Sections of 1902 – (please specify)**

## B. Delivery Systems

1. **Reimbursement.** Payment for the selective contracting program is:

- ☐ the same as stipulated in the State Plan  
☐ is different than stipulated in the State Plan (please describe)

2. **Procurement.** The State will select the contractor in the following manner:

- ☐ **Competitive** procurement  
☐ **Open** cooperative procurement  
☐ **Sole source** procurement  
☐ **Other** (please describe)

## C. Restriction of Freedom of Choice

1. **Provider Limitations.**

- ☐ Beneficiaries will be limited to a single provider in their service area.  
☐ Beneficiaries will be given a choice of providers in their service area.

(NOTE: Please indicate the area(s) of the State where the waiver program will be implemented)

Clients must use the Access Agency serving their region but have the option to receive a different case manager from the applicable Access Agency if they are dissatisfied with their case manager. 1915(c) waiver/1915(i) clients will continue to be able to choose providers of other HCBS. This 1915(b)(4) waiver does not impact clients' freedom of choice of providers for other HCBS covered by the 1915(c) waiver/1915(i). The waiver will be implemented statewide.

2. **State Standards.**

Detail any difference between the state standards that will be applied under this waiver and those detailed in the State Plan coverage or reimbursement documents (if additional space is needed, please supplement your answer with a Word attachment).

**D. Populations Affected by Waiver**

(May be modified as needed to fit the State's specific circumstances)

1. **Included Populations.** The following populations are included in the waiver:

- ☐ Section 1931 Children and Related Populations
- ☐ Section 1931 Adults and Related Populations
- ☐ Blind/Disabled Adults and Related Populations
- ☐ Blind/Disabled Children and Related Populations
- ☐ Aged and Related Populations
- ☐ Foster Care Children
- ☐ Title XXI CHIP Children

2. **Excluded Populations.** Indicate if any of the following populations are excluded from participating in the waiver:

- ☐ Dual Eligibles
- ☐ Poverty Level Pregnant Women
- ☐ Individuals with other insurance
- ☐ Individuals residing in a nursing facility or ICF/MR
- ☐ Individuals enrolled in a managed care program
- ☐ Individuals participating in a HCBS Waiver program
- ☐ American Indians/Alaskan Natives

- ☐ Special Needs Children (State Defined). Please provide this definition.
- ☐ Individuals receiving retroactive eligibility
- ☐ Other (Please define):

## **Part II: Access, Provider Capacity and Utilization Standards**

### **A. Timely Access Standards**

Describe the standard that the State will adopt (or if this is a renewal or amendment of an existing selective contracting waiver, provide evidence that the State has adopted) defining timely Medicaid beneficiary access to the contracted services, *i.e.*, what constitutes timely access to the service?

1. How does the State measure (or propose to measure) the timeliness of Medicaid beneficiary access to the services covered under the selective contracting program (if additional space is needed, please supplement your answer with a Word attachment)?

Through regulations and its contracts with Access Agencies, Connecticut has established standards for timely client access to case management services. Per State regulation (Connecticut General Statutes Sec. 17b-342), an Access Agency “shall have a communication system adequate to receive requests and referrals for service, including the capacity to respond to clients and health professionals in emergencies on a 24-hour basis.” This requirement is included in the contract with Access Agencies. In addition, the contract requires each Access Agency to provide a case manager on call who can respond to client emergencies 24 hours a day on weekends and holidays. The contract also requires the Access Agencies to maintain one operation facility in each service region that is open five days a week, Monday through Friday, 8:00 am to 4:30 pm.

(continued in word document)

2. Describe the remedies the State has or will put in place in the event that Medicaid beneficiaries are unable to access the contracted service in a timely fashion (if additional space is needed, please supplement your answer with a Word attachment).

## **B. Provider Capacity Standards**

Describe how the State will ensure (or if this is a renewal or amendment of an existing selective contracting waiver, provide evidence that the State has ensured) that its selective contracting program provides a sufficient supply of contracted providers to meet Medicaid beneficiaries' needs.

1. Provide a detailed capacity analysis of the number of providers (e.g., by type, or number of beds for facility-based programs), or vehicles (by type, per contractor for non-emergency transportation programs), needed per location or region to assure sufficient capacity under the selective contracting program (if additional space is needed, please supplement your answer with a Word attachment).

In the contract with DSS, the Access Agencies are required to “meet the needs of clients and estimated caseloads of the [region] through the maintenance of a sufficient staffing pattern by providing a full time Director and such other administrative staff as may be required by the [State] regulations or needed to adequately administer the [CHCP], as well as any other programs the Contractor may operate.”

To fulfill this obligation, the Access Agencies must meet certain staffing quality and staff ratio standards. State regulation (Connecticut General Statutes Sec. 17b-342) and the Access Agency contracts require that case managers meet certain staffing and quality standards. Through regulation and contracts, Access Agencies must ensure the selection of qualified staff with certain education and clinical experience. Specifically, case managers are required to be either a registered nurse licensed in the State of Connecticut or a social worker who is a graduate of a four year college or university, and have a minimum of two years of experience in health care or human services (a bachelor's degree in certain related fields may be substituted for one year of experience). Access Agencies are also required to maintain a staffing ratio of 80:1.

DSS' HCBS client database is also used to track staffing ratios. The database captures staffing data from the Access Agencies. DSS uses this database to issue quarterly reports that outline the hours of case management provided to clients, which is used to determine appropriate case manager staff levels at Access Agencies based on the volume of new assessments. The Access Agencies also adjust staffing based on clients with high case management needs.



2. Describe how the State will evaluate and ensure on an ongoing basis that providers are appropriately distributed throughout the geographic regions covered by the selective contracting program so that Medicaid beneficiaries have sufficient and timely access throughout the regions affected by the program (if additional space is needed, please supplement your answer with a Word attachment).

## **B. Utilization Standards**

Describe the State's utilization standards specific to the selective contracting program.

1. How will the State (or if this is a renewal or amendment of an existing selective contracting waiver, provide evidence that the State) regularly monitor(s) the selective contracting program to determine appropriate Medicaid beneficiary utilization, as defined by the utilization standard described above (if additional space is needed, please supplement your answer with a Word attachment)?

2. Describe the remedies the State has or will put in place in the event that Medicaid beneficiary utilization falls below the utilization standards described above (if additional space is needed, please supplement your answer with a Word attachment).

### **Part III: Quality**

#### **A. Quality Standards and Contract Monitoring**

1. Describe the State's quality measurement standards specific to the selective contracting program (if additional space is needed, please supplement your answer with a Word attachment).
  - a. Describe how the State will (or if this is a renewal or amendment of an existing selective contracting waiver, provide evidence that the State):
    - i. Regularly monitor(s) the contracted providers to determine compliance with the State's quality standards for the selective contracting program.
    - ii. Take(s) corrective action if there is a failure to comply.

2. Describe the State's contract monitoring process specific to the selective contracting program (if additional space is needed, please supplement your answer with a Word attachment).
  - a. Describe how the State will (or if this is a renewal or amendment of an existing selective contracting waiver, provide evidence that the State):
    - i. Regularly monitor(s) the contracted providers to determine compliance with the contractual requirements of the selective contracting program.
    - ii. Take(s) corrective action if there is a failure to comply.

## **B. Coordination and Continuity of Care Standards**

Describe how the State assures that coordination and continuity of care is not negatively impacted by the selective contracting program (if additional space is needed, please supplement your answer with a Word attachment).

## **Part IV: Program Operations**

### **A. Beneficiary Information**

Describe how beneficiaries will get information about the selective contracting program (if additional space is needed, please supplement your answer with a Word attachment).

### **B. Individuals with Special Needs.**

- ☐ The State has special processes in place for persons with special needs (Please provide detail).

## Section B – Waiver Cost-Effectiveness & Efficiency

### Efficient and economic provision of covered care and services:

1. Provide a description of the State's efficient and economic provision of covered care and services (if additional space is needed, please supplement your answer with a Word attachment).

2. Project the waiver expenditures for the upcoming waiver period.

The following figures are measured in \$ millions.

Year 1 from:     /    /     to     /    /    

Trend rate from current expenditures (or historical figures):     0.00%     %

Projected pre-waiver cost                     

Projected Waiver cost                     

Difference:                     

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Year 2 from:     /    /     to     /    /    

Trend rate from current expenditures (or historical figures):     0.00%     %

Projected pre-waiver cost                     

Projected Waiver cost                     

Difference:                     

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Year 3 (if applicable) from:     /    /     to     /    /    

*(For renewals, use trend rate from previous year and claims data from the CMS-64)*

Projected pre-waiver cost                     

Projected Waiver cost                     

Difference:                     

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Year 4 (if applicable) from:     /    /     to     /    /    

*(For renewals, use trend rate from previous year and claims data from the CMS-64)*

Projected pre-waiver cost                     

Projected Waiver cost                     

Difference:                     

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Year 5 (if applicable) from: \_\_/\_\_/\_\_\_\_ to \_\_/\_\_/\_\_\_\_

*(For renewals, use trend rate from previous year and claims data from the CMS-64)*

Projected pre-waiver cost \_\_\_\_\_

Projected Waiver cost \_\_\_\_\_

Difference: \_\_\_\_\_