

1915(i) State plan Home and Community-Based Services Administration and Operation

The State implements the optional 1915(i) State plan Home and Community-Based Services (HCBS) benefit for elderly and disabled individuals as set forth below.

1. **Services.** (Specify service title(s) for the HCBS listed in Attachment 4.19-B that the State plans to cover):

HCBS Psychosocial Rehabilitation

2. **Statewide.** (Select one):

<input type="radio"/>	The State implements the 1915(i) State plan HCBS benefit statewide, per §1902(a)(1) of the Act.
<input checked="" type="radio"/>	The State implements this benefit without regard to the statewide requirements in §1902(a)(1) of the Act. State plan HCBS will only be available to individuals who reside in the following geographic areas or political subdivisions of the State. (Specify the areas to which this option applies): Services will be available in the following Wisconsin counties: Adams, Barron, Buffalo, Chippewa, Clark, Dane, Dodge, Dunn, Eau Claire, Forest, Green, Green Lake, Jackson, Jefferson, Kenosha, LaCrosse, Langlade, Lincoln, Marathon, Milwaukee, Monroe, Oneida, Ozaukee, Pepin, Pierce, Portage, Richland, Rock, Sheboygan, St. Croix, Trempealeau, Vernon, Vilas, Washington, Waukesha, Wood

3. **State Medicaid Agency (SMA) Line of Authority for Operating the State plan HCBS Benefit.** (Select one):

<input checked="" type="radio"/>	The State plan HCBS benefit is operated by the SMA. Specify the SMA division/unit that has line authority for the operation of the program (select one): <table border="1"><tr><td><input type="radio"/></td><td>The Medical Assistance Unit (name of unit):</td><td></td></tr><tr><td><input checked="" type="radio"/></td><td>Another division/unit within the SMA that is separate from the Medical Assistance Unit (name of division/unit) <i>This includes administrations/divisions under the umbrella agency that have been identified as the Single State Medicaid Agency.</i></td><td>Department of Health Services Division of Mental Health and Substance Abuse Services, Bureau of Prevention, Treatment and Recovery</td></tr></table>	<input type="radio"/>	The Medical Assistance Unit (name of unit):		<input checked="" type="radio"/>	Another division/unit within the SMA that is separate from the Medical Assistance Unit (name of division/unit) <i>This includes administrations/divisions under the umbrella agency that have been identified as the Single State Medicaid Agency.</i>	Department of Health Services Division of Mental Health and Substance Abuse Services, Bureau of Prevention, Treatment and Recovery
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<input type="radio"/>	The State plan HCBS benefit is operated by (name of agency) A separate agency of the State that is not a division/unit of the Medicaid agency. In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the State plan HCBS benefit and issues policies, rules and regulations related to the State plan HCBS benefit. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this delegation of authority is available through the Medicaid agency to CMS upon request.						

4. Distribution of State plan HCBS Operational and Administrative Functions.

- X** (By checking this box the State assures that): When the Medicaid agency does not directly conduct an administrative function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. When a function is performed by an agency/entity other than the Medicaid agency, the agency/entity performing that function does not substitute its own judgment for that of the Medicaid agency with respect to the application of policies, rules and regulations. Furthermore, the Medicaid Agency assures that it maintains accountability for the performance of any operational, contractual, or local regional entities. In the following table, specify the entity or entities that have responsibility for conducting each of the operational and administrative functions listed (check each that applies):

(Check all agencies and/or entities that perform each function):

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity	Local Non-State Entity
1 Individual State plan HCBS enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2 State plan HCBS enrollment managed against approved limits, if any	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3 Eligibility evaluation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4 Review of participant service plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
5 Prior authorization of State plan HCBS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6 Utilization management	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>
7 Qualified provider enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8 Execution of Medicaid provider agreement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
9 Establishment of a consistent rate methodology for each State plan HCBS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
10 Rules, policies, procedures, and information development governing the State plan HCBS benefit	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11 Quality assurance and quality improvement activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>

(Specify, as numbered above, the agencies/entities (other than the SMA) that perform each function):

Numbers 1, 2, 3, 6, 7 and 8 are performed by County Human Services Departments or in a few counties a Department of Community Programs that has a specific focus on persons with mental illness and/or developmental disabilities in addition to the SMA. Number 9 has been completed under contract with The Public Consulting Group.

(By checking the following boxes the State assures that):

5. **X Conflict of Interest Standards.** The State assures the independence of persons performing evaluations, assessments, and plans of care. Written conflict of interest standards ensure, at a minimum, that persons performing these functions are not:
- related by blood or marriage to the individual, or any paid caregiver of the individual
 - financially responsible for the individual
 - empowered to make financial or health-related decisions on behalf of the individual
 - providers of State plan HCBS for the individual, or those who have interest in or are employed by a provider of State plan HCBS; except, at the option of the State, when providers are given responsibility to perform assessments and plans of care because such individuals are the only willing and qualified provider in a geographic area, and the State devises conflict of interest protections. *(If the State chooses this option, specify the conflict of interest protections the State will implement):*
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6. **X Fair Hearings and Appeals.** The State assures that individuals have opportunities for fair hearings and appeals in accordance with 42 CFR 431 Subpart E.
7. **X No FFP for Room and Board.** The State has methodology to prevent claims for Federal financial participation for room and board in State plan HCBS.
8. **X Non-duplication of services.** State plan HCBS will not be provided to an individual at the same time as another service that is the same in nature and scope regardless of source, including Federal, State, local, and private entities. For habilitation services, the State includes within the record of each individual an explanation that these services do not include special education and related services defined in the Individuals with Disabilities Improvement Act of 2004 that otherwise are available to the individual through a local education agency, or vocational rehabilitation services that otherwise are available to the individual through a program funded under §110 of the Rehabilitation Act of 1973.

Number Served

1. Projected Number of Unduplicated Individuals To Be Served Annually.

(Specify for year one. Years 2-5 optional):

Annual Period	From	To	Projected Number of Participants
Year 1	1/16/10	9/30/10	1077
Year 2			
Year 3			
Year 4			
Year 5			

2. ☒ Annual Reporting. (By checking this box the State agrees to): annually report the actual number of unduplicated individuals served and the estimated number of individuals for the following year.

3. Optional Annual Limit on Number Served. (Select one):

<input type="radio"/>	The State does not limit the number of individuals served during the year or at any one time. Skip to next section.																																
<input checked="" type="radio"/>	The State chooses to limit the number of (check each that applies):																																
<input type="checkbox"/>	Unduplicated individuals served during the year. (Specify in column A below):																																
<input checked="" type="checkbox"/>	Individuals served at any one time ("slots"). (Specify in column B below):																																
	<table border="1"> <thead> <tr> <th rowspan="2">Annual Period</th> <th rowspan="2">From</th> <th rowspan="2">To</th> <th>A</th> <th>B</th> </tr> <tr> <th>Maximum Number served annually (Specify):</th> <th>Maximum Number served at any one time (Specify):</th> </tr> </thead> <tbody> <tr> <td>Year 1</td> <td>1/16/10</td> <td>9/30/10</td> <td></td> <td>938</td> </tr> <tr> <td>Year 2</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Year 3</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Year 4</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Year 5</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Annual Period	From	To	A	B	Maximum Number served annually (Specify):	Maximum Number served at any one time (Specify):	Year 1	1/16/10	9/30/10		938	Year 2					Year 3					Year 4					Year 5				
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<input type="checkbox"/>	The State chooses to further schedule limits within the above annual period(s). (Specify):																																

4. Waiting List. (Select one only if the State has chosen to implement an optional annual limit on the number served):

<input type="radio"/>	The State will not maintain a waiting list.
<input checked="" type="radio"/>	The State will maintain a single list for entrance to the State plan HCBS benefit. State-established selection policies: are based on objective criteria; meet requirements of the Americans with Disabilities Act and all Medicaid regulations; and ensure that only individuals enrolled in the State plan HCBS benefit receive State plan HCBS once they leave/are taken off of the waiting list.

Financial Eligibility

1. ☒ **Income Limits.** *(By checking this box the State assures that):* Individuals receiving State plan HCBS are in an eligibility group covered under the State's Medicaid State plan, and who have income that does not exceed 150% of the Federal Poverty Level (FPL). Individuals with incomes up to 150% of the FPL who are only eligible for Medicaid because they are receiving 1915(c) waiver services may be eligible to receive services under 1915(i) provided they meet all other requirements of the 1915(i) State plan option. The State has a process in place that identifies individuals who have income that does not exceed 150% of the FPL.
2. **Medically Needy.** *(Select one):*

<input type="radio"/>	The State does not provide State plan HCBS to the medically needy.
<input checked="" type="radio"/>	The State provides State plan HCBS to the medically needy <i>(select one):</i>
<input type="radio"/>	The State elects to disregard the requirements at section 1902(a)(10)(C)(i)(III) of the Social Security Act relating to community income and resource rules for the medically needy.
<input checked="" type="radio"/>	The State does not elect to disregard the requirements at section 1902(a)(10)(C)(i)(III).

Needs-Based Evaluation/Reevaluation

1. **Responsibility for Performing Evaluations / Reevaluations.** Eligibility for the State plan HCBS benefit must be determined through an independent evaluation of each individual according to the requirements of 42 CFR §441.556(a)(1) through (5). Independent evaluations/reevaluations to determine whether applicants are eligible for the State plan HCBS benefit are performed *(select one)*:

<input checked="" type="radio"/>	Directly by the Medicaid agency
<input type="radio"/>	By Other <i>(specify State agency or entity with contract with the State Medicaid agency):</i>

2. **Qualifications of Individuals Performing Evaluation/Reevaluation.** The independent evaluation is performed by an agent that is independent and qualified as defined in 42 CFR §441.568. There are qualifications (that are reasonably related to performing evaluations) for the individual responsible for evaluation/reevaluation of needs-based eligibility for State plan HCBS. *(Specify qualifications):*

The 1915(i) program will use Wisconsin's Functional Eligibility Screen for Mental Health and Mental Health & AODA (Co-Occurring) Services in doing the independent evaluation of needs based criteria. This will be conducted by a trained certified screen administrator. Certified screeners are knowledgeable about mental health issues, interviewing skills needed to gather information, conducting a holistic dialogue, recovery-based best practices, including learning what the person needs help with within a larger, recovery-focused dialogue that includes the person's strengths, values, goals and perspectives. All persons administering the functional screen must meet the following conditions:

1. Meet the following **minimum criteria for education and experience**:

- Nursing license or a BA or BS, preferably in a health or human services related field, and at least one year of experience working with people with chronic needs, or
- Prior approval from the Department based on a combination of post-secondary education and experience or on a written plan for formal and on-the-job training to develop the required expertise; and

2. Meet all **training requirements** as specified by the Department. Currently that means:

- Completing the online course, or
- Attending an in-person training by Department staff (or watching video of same), and
- Reading and following screen instructions.

3. **Process for Performing Evaluation/Reevaluation.** Describe the process for evaluating whether individuals meet the needs-based State plan HCBS eligibility criteria and any instrument(s) used to make this determination. If the reevaluation process differs from the evaluation process, describe the differences:

Wisconsin's Mental Health and AODA functional screen has been in use since 2005 to identify individual's functional needs. The screen has three sections: Community living skills inventory, crisis and situational factors (factors such as a history of inpatient stays, emergency detentions, suicide attempts etc.) and risk factors (substance use, housing instability etc.). The functional screen is web based and can be completed only by certified screeners. The needs based eligibility criteria are incorporated into the screen logic to provide an automated determination of eligibility or ineligibility. The functional screen will be completed annually. Screen reports are available showing when annual screens are due or are late.

4. ☒ **Needs-based HCBS Eligibility Criteria.** *(By checking this box the State assures that):* Needs-based criteria are used to evaluate and reevaluate whether an individual is eligible for State plan HCBS.

The criteria take into account the individual's support needs, and may include other risk factors: *(Specify the needs-based criteria):*

Wisconsin's 1915(i) needs based criteria requires an individual to have a variety of combinations of risk factors and functional need for assistance with community living skills such that those needs cannot be met by an outpatient clinic service. ("Assistance" is defined as including any kind of support from another person (monitoring, supervising, reminders, verbal cueing, or hands-on assistance) needed because of a physical, cognitive, or mental health condition disorder)

The following is the minimum possible combinations of factors that demonstrate 1915i eligibility:

The criteria for eligibility group seven (the lowest level of eligibility) are that the individual's needs can not be met by an outpatient clinic service plus they meet the following:

- Applicant meets at least one Eligibility Group Two criteria
- OR
- Applicant meets at least one Eligibility Group Three criteria
- AND-

At least 3 of the following are true for the applicant

- Needs assistance to work or to find work less than monthly OR needs assistance with schooling less than monthly
- Needs help with home hazards 1 to 4 times a month
- Needs help to use effective social/interpersonal skills
- Needs help with money management 1 to 4 times a month
- Needs help with maintaining basic nutrition 1 to 4 times a month
- Needs help with transportation because person cannot drive due to physical, psychiatric or cognitive impairment.

Group Two eligibility criteria normally require two of the following but any one of these criteria meets the first part of the group seven requirement.

- Needs help in maintaining basic safety
- Needs assistance to manage psychiatric symptoms more than once a week
- Needs assistance with taking medications 2 to 6 days per week OR needs monitoring medication effects 2 to 6 days per week
- Has required use of emergency rooms, crisis intervention or detox units 4 or more time in the past year OR has had 1 to 3 psychiatric inpatient stays within the past year OR has had 1 to 3 emergency detentions within the past year
- Has had 4 or more psychiatric inpatient stays within the past 13 months to 3 years OR has made 4 or more suicide attempts within the past 13 months to 3 years
- Has had incidents of physical aggression 4 or more times within the past year OR has had involvement with the corrections system 4 or more times within the past year

Group 3 eligibility requires three of the following but for Group seven only one of the following is sufficient to meet the first part of the eligibility.

- Needs assistance to work more than 1 time per week
- Needs help with home hazards more than once a week
- Needs help with money management more than once a week
- Needs help with basic nutrition more than once a week
- Needs help performing general health maintenance at least 1 to 4 times a month
- Needs help managing psychiatric symptoms 1 to 4 times a month

- Needs assistance with taking medications 1 to 4 days a month or needs monitoring medication effects 1 to 4 days a month
- Has required use of emergency rooms, crisis intervention, or detox units at least 1 time in the past year; or has had 1 to 3 psychiatric inpatient stays within the past year
- Has required use of emergency rooms, crisis intervention, or detox units 4 or more times within the past 13 months to 3 years; OR has had at least 1 psychiatric inpatient stay within the past 13 months to 3 years OR has made at least one suicide attempt within the past 13 months to 3 years.
- Has had at least 1 emergency detention within the past 13 months to 3 years
- Has had at least 1 incident of physical aggression in the past year; OR has had involvement with the correctional system 4 or more times within the past 13 months to 3 years
- Currently homeless (on the street or no permanent address) OR has been evicted 2 or more times in the past year; OR homeless more than half of the time in the past year; OR currently homeless, not in transitional housing OR in Transitional Housing – Mental Health, Substance Abuse or Corrections System
- Has demonstrated self-injurious behaviors within the past year; OR has demonstrated self-injurious behaviors 13 months to 3 years ago
- Has at least one Substance-Related diagnosis except nicotine dependence or other related disorder; OR in the past 12 months, person has experienced negative consequences in legal (including OWI), financial, family, relational, or health domains that are linked to substance use

5. **X Needs-based Institutional and Waiver Criteria.** *(By checking this box the State assures that):* There are needs-based criteria for receipt of institutional services and participation in certain waivers that are more stringent than the criteria above for receipt of State plan HCBS. If the State has revised institutional level of care to reflect more stringent needs-based criteria, individuals receiving institutional services and participating in certain waivers on the date that more stringent criteria become effective are exempt from the new criteria until such time as they no longer require that level of care. *(Complete chart below to summarize the needs-based criteria for State Plan HCBS and corresponding more-stringent criteria for each of the following institutions):*

Needs-Based/Level of Care (LOC) Criteria

State plan HCBS needs-based eligibility criteria	NF (& NF LOC waivers)	ICF/MR (& ICF/MR LOC waivers)	Applicable Hospital* LOC (& Hospital LOC waivers)
The needs based eligibility criteria are described in #4.	<p>Wisconsin Law allows reimbursement to nursing homes for eligible persons who require skilled, intermediate, or limited levels of nursing care. Wis. Stat. § 49.45(6m)(i). Those levels are defined in Wis. Adm. Code § DHS 132.13.</p> <p>Wisconsin's BC waiver criteria for nursing home level of care are as follows:</p> <p>A person is functionally eligible at the nursing home level if the person requires ongoing care, assistance or supervision from another person, as is evidenced by any of the following findings from application of the functional screening:</p> <ol style="list-style-type: none"> 1. The person cannot safely or appropriately perform 3 or more activities of daily living. 2. The person cannot safely or appropriately perform 2 or more ADLs and one or more instrumental activities of daily living. 3. The person cannot safely or appropriately perform 5 or more IADLs. 	<p>ICF_MR referred to in Wisconsin as FDD (Facility serving people with developmental disabilities) Wis. Adm. Code § DHS 134.13 contains the following definitions:</p> <p>(13) "FDD" or "facility serving people with developmental disabilities" means a residential facility with a capacity of 4 or more individuals who need and receive active treatment and health services as needed.</p> <p>(2) "Active treatment" means an ongoing, aggressive and consistently applied program of training and treatment services to allow the client to function as independently as possible and maintain his or her maximum functional</p>	<p>For inpatient hospital psychiatric emergency detention or involuntary commitment, state statutes require that:</p> <ol style="list-style-type: none"> 1) The individual is mentally ill, drug dependent, or developmentally disabled; 2) The individual presents an immediate danger of harm to self or others based on a recent act or omission; and 3) Inpatient hospitalization is the least restrictive placement consistent with the requirements of the individual (i.e., the individual's needs can only be met on an inpatient basis). IMD hospital admissions nearly always occur on an emergency detention or involuntary commitment basis. <p>For a voluntary admission (to a psychiatric unit of a general hospital), the inpatient services must:</p> <ol style="list-style-type: none"> 1) Directed by a

		<p>abilities.</p> <p>(9) "Developmental disability" means mental retardation or a related condition such as cerebral palsy, epilepsy or autism, but excluding mental illness and infirmities of aging, which is:</p> <p>(a) Manifested before the individual reaches age 22;</p> <p>(b) Likely to continue indefinitely; and</p> <p>(c) Results in substantial functional limitations in 3 or more of the following areas of major life activity:</p> <ol style="list-style-type: none"> 1. Self-care; 2. Understanding and use of language; 3. Learning; 4. Mobility; 5. Self-direction; and 6. Capacity for independent living. 	<p>physician or dentist; and 2) Be medically necessary as certified by a physician or dentist. Among the criteria in the state definition of "medical necessity" is the requirement that the service (e.g., inpatient hospitalization) is the most appropriate level of service that can safely and effectively be provided to the recipient/individual.</p>
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*Long Term Care/Chronic Care Hospital

(By checking the following boxes the State assures that):

6. ☒ **Reevaluation Schedule.** Needs-based eligibility reevaluations are conducted at least every twelve months.
7. ☒ **Adjustment Authority.** The State will notify CMS and the public at least 60 days before exercising the option to modify needs-based eligibility criteria in accord with 1915(i)(1)(D)(ii).

8. **X Residence in home or community.** The State plan HCBS benefit will be furnished to individuals who reside in their home or in the community, not in an institution. The State attests that each individual receiving State plan HCBS:

(i) Resides in a home or apartment not owned, leased or controlled by a provider of any health-related treatment or support services; or

(ii) Resides in a home or apartment that is owned, leased or controlled by a provider of one or more health-related treatment or support services, if such residence meets standards for community living as defined by the State. *(If applicable, specify any residential settings, other than an individual's home or apartment, in which residents will be furnished State plan HCBS. Describe the standards for community living that optimize participant independence and community integration, promote initiative and choice in daily living, and facilitate full access to community services):*

Wisconsin's 1915i services will expect recovery, outcome based services that are individualized based on the needs identified through the comprehensive assessment and person-centered planning process. This includes identifying the type of community setting most able to meet the individuals assessed support needs and individual choice. There is not an automatic placement into a service. An individual choice may require that professionals assess the housing choice and assist with recommendations for modifications that promote both independence and safety. A care manager is required to use a person centered planning process. The consumer and the care manager decide together on the appropriateness of the community setting.

The choice of the home and the decoration of personal space by the individual as well as the neighborhood are basic rights promoted through the use of person centered planning. Opportunity to exercise personal freedom in all domains will be promoted through training of qualified staff. Participation in community events, activities and resources will be supported and limits exercised only where required to assure safety. As an example, if a person is at risk around sharp knives they would not be excluded from activities in their kitchen. Instead the knives would be stored safely. Community integration has many features and are dependent on the person's preferences and availability. Establishing choices for each person is a process of asking, learning in a trusting relationship, and providing the means to access services, supports and naturally occurring activities offered to anyone in the community at large. Many of the services offered to gain such participation will be skill building and self management strategies. Peer Specialists are often the best teachers and models supporting this type of service. They are part of the state work force to bring about system and person specific transformation.

The type of residential setting needed would be determined by the person-centered assessment. Allowable settings other than the individuals own home or apartment are Adult Family Homes (AFH), Residential care apartment complex (RCAC), and community based residential facilities (CBRF).

RCACs are by definition independent apartments with a lockable entrance and exit, a kitchen including a stove and individual bathroom, sleeping and living areas. RCAC settings are apartment complexes that offer additional services and supports to its residents. These settings are the individual's home apartment. As in any apartment setting, the owner/manager of the building may have rules or limitations to manage the building and the day to day management of the environment and services. The state has administrative rules and quality oversight that assure individuals' rights and safety in such settings.

Care Managers would be responsible for determining that AFH's offer individuals opportunity to participate in community activities. AFH's would need to offer private personal quarters or the choice of whom to share their room with and access to food and food preparation areas.

CBRF's are the most restrictive of the community residential options which is a facility that provides from 5 to 16 beds (inclusive). For this reason, only individuals whose health and safety are at risk without 24hr supervision will receive 1915(i) services in a CBRF. The care manager together with the person receiving 1915(i) services will determine that the residence is a community setting and offers opportunities for independence, choice and community integration. Wisconsin has developed standards to ensure that these facilities are community based.

Person-Centered Planning & Service Delivery

(By checking the following boxes the State assures that):

- 1. X** There is an independent assessment of individuals determined to be eligible for the State plan HCBS benefit. The assessment is based on:
- An objective face-to-face assessment with a person-centered process by an agent that is independent and qualified as defined in 42 CFR §441.568;
 - Consultation with the individual and if applicable, the individual's authorized representative, and includes the opportunity for the individual to identify other persons to be consulted, such as, but not limited to, the individual's spouse, family, guardian, and treating and consulting health and support professionals caring for the individual;
 - An examination of the individual's relevant history, including findings from the independent evaluation of eligibility, medical records, an objective evaluation of functional ability, and any other records or information needed to develop the plan of care as required in 42 CFR §441.565;
 - An examination of the individual's physical and mental health care and support needs, strengths and preferences, available service and housing options, and when unpaid caregivers will be relied upon to implement the plan of care, a caregiver assessment;
 - If the State offers individuals the option to self-direct State plan HCBS, an evaluation of the ability of the individual (with and without supports), or the individual's representative, to exercise budget and/or employer authority; and
 - A determination of need for (and, if applicable, determination that service-specific additional needs-based criteria are met for), at least one State plan home and community-based service before an individual is enrolled into the State plan HCBS benefit.
- 2. X** Based on the independent assessment, the individualized plan of care:
- Is developed with a person-centered process in consultation with the individual, and others at the option of the individual such as the individual's spouse, family, guardian, and treating and consulting health care and support professionals. The person-centered planning process must identify the individual's physical and mental health support needs, strengths and preferences, and desired outcomes;
 - Takes into account the extent of, and need for, any family or other supports for the individual, and neither duplicates, nor compels, natural supports;
 - Prevents the provision of unnecessary or inappropriate care;
 - Identifies the State plan HCBS that the individual is assessed to need;
 - Includes those services, the purchase or control of which the individual elects to self-direct, meeting the requirements of 42 CFR §441.574(b) through (d);
 - Is guided by best practices and research on effective strategies for improved health and quality of life outcomes; and
 - Is reviewed at least every 12 months and as needed when there is significant change in the individual's circumstances.

3. Responsibility for Face-to-Face Assessment of an Individual's Support Needs and Capabilities.

There are educational/professional qualifications (that are reasonably related to performing assessments) of the individuals who will be responsible for conducting the independent assessment, including specific training in assessment of individuals with physical and mental needs for HCBS. (*Specify qualifications*):

The assessment will be completed by a care manager.

1. A care manager shall have the skills and knowledge typically acquired:

a. Through a course of study and practice experience that meets requirements for state certification/licensure as a social worker and also one year experience working with persons living with mental illness, or

b. Through a course of study leading to a BA/BS degree in a health or human services related field and one year of experience working with persons living with mental illness, or

c. Through a minimum of four years experience as a care manager, or

d. Through an equivalent combination of training and experience that equals four years of long term support and/or mental health practice in care management, or

e. The completion of a course of study leading to a degree as a registered nurse and one year employment working with persons living with mental illness.

2. The care manager shall be knowledgeable of person centered planning, the service delivery system, the needs of persons living with mental illness, and the availability of mental health recovery focused services and resources or the need for such services and resources to be developed.

3. Providers of care management are subject to the required criminal, caregiver and licensing background checks and hiring prohibitions as prescribed by the SMA.

4. **Responsibility for Plan of Care Development.** There are qualifications (that are reasonably related to developing plans of care) for persons responsible for the development of the individualized, person-centered plan of care. *(Specify qualifications):*

The service plan will be developed by the care manager with the participant and other appropriate parties determined appropriate by the participant.

1. A care manager shall have the skills and knowledge typically acquired:
 - a. Through a course of study and practice experience that meets requirements for state certification/licensure as a social worker and also one year experience working with persons living with mental illness, or
 - b. Through a course of study leading to a BA/BS degree in a health or human services related field and one year of experience working with persons living with mental illness, or
 - c. Through a minimum of four years experience as a care manager, or
 - d. Through an equivalent combination of training and experience that equals four years of long term support and/or mental health practice in care management, or
 - e. The completion of a course of study leading to a degree as a registered nurse and one year employment working with persons living with mental illness.
2. The care manager shall be knowledgeable of person centered planning, the service delivery system, the needs of persons living with mental illness, and the availability of mental health recovery focused services and resources or the need for such services and resources to be developed.
3. Providers of care management are subject to the required criminal, caregiver and licensing background checks and hiring prohibitions as prescribed by the SMA.

5. **Supporting the Participant in Plan of Care Development.** Supports and information are made available to the participant (and/or the additional parties specified, as appropriate) to direct and be actively engaged in the plan of care development process. *(Specify: (a) the supports and information made available, and (b) the participant's authority to determine who is included in the process):*

The care manager will provide information both verbally and in writing to the participant about the person-centered planning process, their opportunity to include others to participate in the planning, the services available through the program and that they will be able to select qualified service providers of their choice. The care manager will ensure that the participant and others they choose are fully involved in the plan development. Service plan meetings are conducted at times and places that are convenient for the participant. The care manager will document on the service plan those in attendance at the plan development. The care manager will ensure that the participant and legal representative sign and date the service plan and that they receive a copy of the completed plan.

6. Informed Choice of Providers. *(Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the 1915(i) services in the plan of care):*

The care manager will provide information and answer questions before and during the service plan development about the qualified service providers available to meet the assessed needs of the participant. The care manager will assist the participant in contacting and /or visiting the service provider to determine if they are a good match. On an ongoing basis thereafter, the care manager will assist the participant in interactions with service providers, including but not limited to selecting different providers who may prove to be a better match for them. All willing providers will have the opportunity to register with the DHS. The care manager will assist the person on an ongoing basis to assure that the service plan continues to meet their needs.

7. Process for Making Plan of Care Subject to the Approval of the Medicaid Agency. *(Describe the process by which the plan of care is made subject to the approval of the Medicaid agency):*

The care manager will submit the completed and signed service plan to the DHS. Services are not authorized until DHS has approved the service plan.

8. Maintenance of Plan of Care Forms. Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR §74.53. Service plans are maintained by the following *(check each that applies)*:

<input checked="" type="checkbox"/>	Medicaid agency	<input type="checkbox"/>	Operating agency	<input checked="" type="checkbox"/>	Case manager
<input type="checkbox"/>	Other (specify):				

Services

1. **State plan HCBS.** (Complete the following table for each service. Copy table as needed):

Service Specifications (Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):	
Service Title:	Psychosocial Rehabilitation
Service Definition (Scope):	
<p><u>Community Living Supportive Services (CLSS)</u></p> <p>This service covers activities necessary to allow individuals to live with maximum independence in community integrated housing. Activities are intended to assure successful community living through utilization of skills training, cueing and/or supervision as identified by the person-centered assessment. Community Living supportive services consist of meal planning/preparation, household cleaning, personal hygiene, reminders for medications and monitoring symptoms and side effects, teaching parenting skills, community resource access and utilization, emotional regulation skills, crisis coping skills, shopping, transportation, recovery management skills and education, financial management, social and recreational activities, and developing and enhancing interpersonal skills. CLSS tasks, such as meal planning, cleaning, etc. are not done for the individual, but rather they are delivered through training, cueing, and supervision to help the participant become more independent in doing these tasks.</p> <p>Wisconsin would make these services available in a variety of community locations that encompass residential, business, social and recreational settings. Residential settings are limited to an individual's own apartment or house, supported apartment programs, adult family homes (AFH), residential care apartment complexes (RCAC), and community based residential facilities (CBRF's) of from 5 to 16 beds (inclusive). The type of residential setting needed would be as agreed upon in the person-centered assessment. Individuals needing services in a CBRF setting would be those whose health and safety are at risk without 24hr supervision. Payment is not made for room and board including the cost of building maintenance.</p> <p>The services provided under 1915(i) will not be duplicative of other State Plan services, including but not limited to personal care and transportation.</p>	

Supported employment

This service covers activities necessary to assist individuals to obtain and maintain competitive employment. This service may be provided by a supported employment program agency or individual employment specialist. The service will follow the Individual Placement and Support (IPS) model recognized by SAMHSA to be an evidence-based practice. This model has been shown to be effective in helping individuals obtain and maintain competitive employment. This promotes recovery through a community integrated socially valued role and increased financial independence. The core principles of this supported employment approach are:

- Participation is based on consumer choice. No one is excluded because of prior work history, hospitalization history, substance use, symptoms, or other characteristics. No one is excluded who wants to participate.
- Supported employment is closely integrated with mental health treatment. Employment specialists meet frequently with the mental health treatment team to coordinate plans.
- Competitive employment is the goal. The focus is community jobs anyone can apply for that pay at least minimum wage, including part-time and full-time jobs.
- Job search starts soon after a consumer expresses an interest in working. There are no requirements for completing extensive pre-employment assessment and training, or intermediate work experiences (like pre-vocational work units, transitional employment, or sheltered workshops).
- Follow-along Supports are Continuous. Individualized supports to maintain employment continue as long as the consumer wants assistance.
- Consumer preferences are important. Choices and decisions about work and support are individualized based on the person's preferences, strengths, and experiences.

The service covers supported employment intake, assessment (not general 1915(i) intake and assessment), job development, job placement, work related symptom management, employment crisis support, and follow-along supports by an employment specialist. It also covers employment specialist time spent with the individual's mental health treatment team and Vocational Rehabilitation (VR) counselor. The Wisconsin 1915(i) HCB services will not duplicate other State Plan services. The Supported employment service does not include services available as defined in S4 (a) (4) of the 1975 Amendments to the Education of the Handicapped Act (20 U.S.C. 1401(16), (17)) which otherwise are available to the individual through a State or local educational agency and vocational rehabilitation services which are otherwise available to the individual through a program funded under S110 of the Rehabilitation Act of 1973 (29 U.S.C. 730).

Peer Supports

Individuals trained and certified as Peer Specialists serve as advocates, provide information and peer support for consumers in outpatient and other community settings. All consumers receiving 1915(i) peer support services will reside in home and community settings. Certified Peer Specialists perform a wide range of tasks to assist consumers in regaining control over their own lives and over their own recovery process. Peer Specialists function as role models demonstrating techniques in recovery and in ongoing coping skills through: (a) offering effective recovery-based services; (b) assisting consumers in finding self-help groups; (c) assisting consumers in obtaining services that suit that individual's recovery needs; (d) teaching problem solving techniques; (e) teaching consumers how to identify and combat negative self-talk and how to identify and overcome fears; (f) assisting consumers in building social skills in the community that will enhance integration opportunities; (g) lending their unique insight into mental illness and what makes recovery possible; (h) attending treatment team and crisis plan development meetings to promote consumer's use of self-directed recovery tools; (i) informing consumers about community and natural supports and how to utilize these in the recovery process; and (j) assisting consumers in developing empowerment skills through self-advocacy and stigma-busting activities. 1915(i) HCBS will not duplicate other State Plan services.

Additional needs-based criteria for receiving the service, if applicable (*specify*):

Specify limits (if any) on the amount, duration, or scope of this service for (*chose each that applies*):

☐ Categorically needy (*specify limits*):

☐ Medically needy (*specify limits*):

Provider Qualifications <i>(For each type of provider. Copy rows as needed):</i>			
Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Community Living Supportive Services:			
➤ Adult Family Homes (AFH)	WI Statute Chapter 50 and Administrative Rule DHS 88 for 3-4 bed Adult Homes		Providers are subject to the required caregiver, criminal and licensing background checks. 15 hrs of training related to fire safety, first aid, health, safety and welfare of residents, resident rights, and treatment.
➤ Community Based Residential Facility (CBRF)	WI Statute Chapter 50 and Administrative Rule DHS 83 for 5 to 16 beds		Providers are subject to the required caregiver, criminal and licensing background checks. Orientation and ongoing training required that includes: training on job responsibilities, prevention and reporting of resident abuse, neglect, assessing needs and individual services, emergency and disaster plans and evacuation procedures, recognizing and responding to resident changes of condition, fire safety, first aid and choking, medication safety, standard precautions, resident rights, recognizing, preventing and responding to challenging behaviors.
➤ Residential Care Apartment Complex (RCAC)	WI Statute Chapter 50 and Administrative Rule DHS 89		Providers are subject to the required caregiver, criminal and licensing background checks. Training required in the services the staff are assigned; safety procedures, including fire safety, first aid, universal precautions and the facilities emergency plan, tenant rights and privacy, autonomy and independence, physical, functional and psychological characteristics of the tenant population.
➤ Supportive Home Care Agency, Home Health Agency or Individual	WI Statute Chapter 50. Administrative Rule DHS 133.	Administrative Code DHS 105.17.	Providers are subject to the required caregiver, criminal and licensing background checks. Orientation to job duties, policies of agency, information on other community agencies, ethics, confidentiality of patient information and patients' rights, prevention of infections. Continuing education required as appropriate to job.
➤ Household/Chore Services Agency or Individual			Providers are subject to caregiver, criminal and licensing background checks. Orientation for job duties, policies of agency, information about other community agencies, ethics, confidentiality of patient information, patients' rights, infection control and continuing education as required by duties.

Supported Employment:			
➤ Supported Employment Program or Individual Employment Specialist			One year experience working with persons living with mental illness and IPS Supported Employment Specialists Competencies developed by Dartmouth (09/09).
Peer Supports:			
➤ Peer Specialist Agency or Individual		Certification that the Peer Specialist has successfully completed an approved training course and that they have passed the competency based exam.	Providers are subject to caregiver, criminal and licensing background checks. Curricula of Wisconsin approved Certified Peer Specialist training include cultural competence, consumer rights, ethics and boundaries, crisis planning, trauma-informed care, and specifics to the peer specialist's role. Peer specialists will be supervised by a mental health professional.

Verification of Provider Qualifications <i>(For each provider type listed above. Copy rows as needed):</i>		
Provider Type <i>(Specify):</i>	Entity Responsible for Verification <i>(Specify):</i>	Frequency of Verification <i>(Specify):</i>
Adult Family Homes (AFH)	County/Tribal Agency – Human Service Department or Department of Community Programs	Annually
Community Based Residential Facility (CBRF)	County/Tribal Agency – Human Service Department or Department of Community Programs	Annually
Residential Care Apartment Complex (RCAC)	County/Tribal Agency – Human Service Department or Department of Community Programs	Annually
Supportive Home Care Agency or Individual	County/Tribal Agency – Human Service Department or Department of Community Programs	Annually
Household/Chore Services Agency or Individual	County/Tribal Agency – Human Service Department or Department of Community Programs	Annually
Supported Employment Prog. or Individual Employment Specialist	County/Tribal Agency – Human Service Department or Department of Community Programs	Annually
Peer Specialist Agency/Individual	County/Tribal Agency – Human Service Department or Department of Community Programs,	Every other year
	Human Service Department Care Manager	Ongoing oversight & monitoring
Service Delivery Method. <i>(Check each that applies):</i>		
<input type="checkbox"/> Participant-directed	<input checked="" type="checkbox"/> Provider managed	

2. **X Policies Concerning Payment for State plan HCBS Furnished by Relatives, Legally Responsible Individuals, and Legal Guardians.** *(By checking this box the State assures that):* There are policies pertaining to payment the State makes to qualified persons furnishing State plan HCBS, who are relatives of the individual. There are additional policies and controls if the State makes payment to qualified legally responsible individuals or legal guardians who provide State Plan HCBS. *(Specify (a) who may be paid to provide State plan HCBS; (b) how the State ensures that the provision of services by such persons is in the best interest of the individual; (c) the State's strategies for ongoing monitoring of services provided by such persons; (d) the controls to ensure that payments are made only for services rendered; and (e) if legally responsible individuals may provide personal care or similar services, the policies to determine and ensure that the services are extraordinary (over and above that which would ordinarily be provided by a legally responsible individual):*

Wisconsin's 1915(i) program will be consistent with the DHS HCBS 1915 c waiver programs in regards to payment for State plan HCBS furnished by relatives, legally responsible individuals and legal guardians. Thus the following limitations will be followed. Legal guardians, spouses of 1915(i) participants or the parents of minor children who are 1915 (i) participants will not be paid for providing any service. However, county/tribal agencies may choose to reimburse those persons for services provided to 1915(i) participants using other funding sources. Relatives not falling under the above exceptions may provide HCBS services in the quantity and to the extent determined by the needs of the consumer as specified in the individual assessment and care plan.

Oversight of this policy will be part of the on-going quality review of the person centered plan of care and provider qualifications conducted on an ongoing basis by the DHS. Further provider qualifications review will occur at the annual review process.

Participant-Direction of Services

Definition: Participant-direction means self-direction of services per §1915(i)(1)(G)(iii).

1. Election of Participant-Direction. (Select one):

<input checked="" type="radio"/>	The State does not offer opportunity for participant-direction of State plan HCBS.
<input type="radio"/>	Every participant in State plan HCBS (or the participant's representative) is afforded the opportunity to elect to direct services. Alternate service delivery methods are available for participants who decide not to direct their services.
<input type="radio"/>	Participants in State plan HCBS (or the participant's representative) are afforded the opportunity to direct some or all of their services, subject to criteria specified by the State. (Specify criteria):

2. Description of Participant-Direction. (Provide an overview of the opportunities for participant-direction under the State plan HCBS, including: (a) the nature of the opportunities afforded; (b) how participants may take advantage of these opportunities; (c) the entities that support individuals who direct their services and the supports that they provide; and, (d) other relevant information about the approach to participant-direction):

3. Limited Implementation of Participant-Direction. (Participant direction is a mode of service delivery, not a Medicaid service, and so is not subject to statewideness requirements. Select one):

<input type="radio"/>	Participant direction is available in all geographic areas in which State plan HCBS are available.
<input type="radio"/>	Participant-direction is available only to individuals who reside in the following geographic areas or political subdivisions of the State. Individuals who reside in these areas may elect self-directed service delivery options offered by the State, or may choose instead to receive comparable services through the benefit's standard service delivery methods that are in effect in all geographic areas in which State plan HCBS are available. (Specify the areas of the State affected by this option):

4. Participant-Directed Services. (Indicate the State plan HCBS that may be participant-directed and the authority offered for each. Add lines as required):

Participant-Directed Service	Employer Authority	Budget Authority
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

5. **Financial Management.** *(Select one):*

<input type="radio"/>	Financial Management is not furnished. Standard Medicaid payment mechanisms are used.
<input type="radio"/>	Financial Management is furnished as a Medicaid administrative activity necessary for administration of the Medicaid State plan.

6. ☒ **Participant-Directed Plan of Care.** *(By checking this box the State assures that):* Based on the independent assessment, a person-centered process produces an individualized plan of care for participant-directed services that:

- Be developed through a person-centered process that is directed by the individual participant, builds upon the individual's ability (with and without support) to engage in activities that promote community life, respects individual preferences, choices, strengths, and involves families, friends, and professionals as desired or required by the individual;
- Specifies the services to be participant-directed, and the role of family members or others whose participation is sought by the individual participant;
- For employer authority, specifies the methods to be used to select, manage, and dismiss providers;
- For budget authority, specifies the method for determining and adjusting the budget amount, and a procedure to evaluate expenditures; and
- Includes appropriate risk management techniques, including contingency plans that recognize the roles and sharing of responsibilities in obtaining services in a self-directed manner and assure the appropriateness of this plan based upon the resources and support needs of the individual.

7. **Voluntary and Involuntary Termination of Participant-Direction.** *(Describe how the State facilitates an individual's transition from participant-direction, and specify any circumstances when transition is involuntary):*

8. Opportunities for Participant-Direction

a. Participant–Employer Authority (individual can hire and supervise staff). *(Select one):*

<input type="radio"/>	The State does not offer opportunity for participant-employer authority.
<input type="radio"/>	Participants may elect participant-employer Authority <i>(Check each that applies):</i>
<input type="checkbox"/>	Participant/Co-Employer. The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide 1915 (i) services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions.
<input type="checkbox"/>	Participant/Common Law Employer. The participant (or the participant's representative) is the common law employer of workers who provide 1915 (i) services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

b. Participant–Budget Authority (individual directs a budget). *(Select one):*

<input type="radio"/>	The State does not offer opportunity for participants to direct a budget.
<input type="radio"/>	Participants may elect Participant–Budget Authority.
	Participant-Directed Budget. <i>(Describe in detail the method(s) that are used to establish the amount of the budget over which the participant has authority, including how the method makes use of reliable cost estimating information, is applied consistently to each participant, and is adjusted to reflect changes in individual assessments and service plans. Information about these method(s) must be made publicly available and included in the plan of care):</i>
	Expenditure Safeguards. <i>(Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards):</i>

Quality Improvement Strategy

(Describe the State's quality improvement strategy in the tables below):

Discovery Activities					Remediation	
Requirement	Discovery Evidence (Performance Measures)	Discovery Activity (Source of Data & sample size)	Monitoring Responsibilities (agency or entity)	Frequency	Remediation Responsibilities (Who does this)	Frequency of Analysis and Aggregation
Service plans address assessed needs of 1915(i) participants, are updated annually, and document choice of services and providers.	1. Service plans will reflect the use of the person-centered planning approach.	1. All (100%) initial and updated service plans will be reviewed when submitted by the provider.	1. DHS (SMA)	1. Ongoing	1. DHS (SMA)	1. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
	2. Participants choice of providers will be documented in the service plan by the case manager.	2. All (100%) service plans will be reviewed for documentation of participant choice of providers	2. DHS (SMA)	2. Annually	2. DHS (SMA)	2. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
	3. Interviews of participant satisfaction will be conducted.	3. Representative sampling of interview results will be reviewed and put into a summary report. The State's sampling methodology will ensure a 95 percent confidence	3. DHS (SMA)	3. Annually or at disenrollment	3. DHS (SMA)	3. If a corrective action plan is needed it must be provided within 15 days

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		level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.				and the state will respond in 15 days for a total of 30 days.
	4. Participant needs assessment conducted by the case manager.	4. Representative sampling of case files will be reviewed. The State's sampling methodology will ensure a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.	4. DHS (SMA)	4. Annually	4. DHS (SMA)	4. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
	5. All willing providers have the opportunity to register with the DHS.	5. Representative sampling of service plans will be reviewed. The State's sampling methodology will ensure a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.	5. DHS (SMA)	5. Annually	5. DHS (SMA)	5. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.

	6. Services are delivered in accordance with the service plan.	6. Representative sampling of services delivered will be reviewed. The State's sampling methodology will ensure a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.	6. DHS (SMA)	6. Annually	6. DHS (SMA)	6. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
Providers meet required qualifications.	1. All providers meet requirements established by DHS and documented by the case manager.	1. Representative sampling of case files will be reviewed. The State's sampling methodology will ensure a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.	1. DHS (SMA)	1. Annually	1. DHS (SMA)	1. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
	2. All providers have a current agreement with the SMA.	2. Presence of MA agreement in sampling of case records. The State's sampling methodology will ensure a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of	2. DHS (SMA)	2. Annually	2. DHS (SMA)	2. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.

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		approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.				
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Discovery Activities					Remediation	
Requirement	Discovery Evidence (Performance Measures)	Discovery Activity (Source of Data & sample size)	Monitoring Responsibilities (agency or entity)	Frequency	Remediation Responsibilities (Who does this)	Frequency of Analysis and Aggregation
The SMA retains authority and responsibility for program operations and oversight.	1. Case files will reflect that local non-state entities and providers adhere to federal and state program requirements, policies and regulations for 1915i program.	1. Representative sampling record reviews of case files, mental health functional screen, service provider records, monitoring reports and on-site interviews. The State's sampling methodology will ensure a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.	1. DHS (SMA)	1. Annually	1. DHS (SMA)	1. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
	2. Presence of the county entities entering accurate information into the automated functional screen.	2. All (100%) initial and updated automated functional screens will be reviewed when service plan packets are submitted by the county entity.	2. DHS (SMA)	2. Ongoing	2. DHS (SMA)	2. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15

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						days for a total of 30 days.
The SMA maintains financial accountability through payment of claims for services that are authorized and furnished to 1915(i) participants by qualified providers.	1. DHS oversight through the MMIS system to assure claims are coded and paid in accordance with the state plan.	1. MMIS Reports	1. DHS (SMA)	1. Ongoing	1. DHS (SMA)	1. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days
	2. Representative sample of claims, case files and service plans.	2. Program review of MMIS Reports, documentation of sample selection process.	2. DHS (SMA)	2. Annually	2. DHS (SMA)	2. If a corrective action plan is needed it must be provided within 15 days and the state will respond in 15 days for a total of 30 days
	3. Claims are authorized and furnished appropriately.	3. Program testing in annual single audit of county agency.	3. DHS (SMA)	3. Annually	3. DHS (SMA)	3. If a corrective action plan is needed it must be provided within 45 days and the state will respond in 45 days for a total of 90 days
The State identifies, addresses and seeks to prevent incidents of abuse, neglect, and exploitation, including the use of restraints.	1. Service plans address health and welfare needs of the participant.	1. Representative sampling record reviews of case files, service plans and outcomes, mental health functional screen, service provider records, monitoring reports and on-site interviews. The State's sampling methodology will ensure	1. DHS (SMA)	1. Annually	1. DHS (SMA)	1. Immediate safety issues identified must have a corrective action plan within 3 days. If a corrective

		a 95 percent confidence level with a 5 percent margin of error (confidence interval). The sample will be drawn from the universal population, which is defined as the total number of approved 1915i participants. The sample size will be determined by applying the methodology to the universal population.				action plan is needed that is not urgent, it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
	2. Providers will complete and submit incident reports as required by DHS policy.	2. All (100%) of incident reports will be reviewed to ensure appropriate actions have been taken. Adverse incidents are reported to the county case manager (CM). The CM reviews the situation and takes steps to protect safety of participant. The CM immediately notifies, as appropriate, the DHS Division of Quality Assurance. The CM also notifies the state 1915(i) coordinator. All critical incidents tracked by the state 1915(i) coordinator who will follow-up as needed. Coordinator will review incidents for any patterns that would suggest the need for further investigation or technical assistance.	2. DHS (SMA)	2. Ongoing	2. County Agency and DHS (SMA)	2. Reported to care manager within 24 hrs. Reported to state within 3 days with corrective action plan. State reviews plan and responds within 10 days. Formal report submitted by county to state on outcome of corrective action in 30 days.
	3. CLSS providers supply medication reminders to participants and monitor their signs and symptoms and side-effects.	3. Representative sampling record reviews of case files, service provider records, monitoring reports and on-site interviews. The State's sampling methodology will ensure a 95 percent confidence	3. DHS (SMA)	3. Annually	3. DHS (SMA)	3. Immediate safety issues identified must have a corrective action plan within 3 days.

		level with a 5 percent margin of error (confidence interval). The sample will be drawn from the population of 1915(i) CLSS recipients, and not the universal 1915(i) population				If a corrective action plan is needed that is not urgent, it must be provided within 15 days and the state will respond in 15 days for a total of 30 days.
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System Improvement: <i>(Describe process for systems improvement as a result of aggregated discovery and remediation activities.)</i>			
Methods for Analyzing Data and Prioritizing Need for System Improvement	Roles and Responsibilities	Frequency	Method for Evaluating Effectiveness of System Changes
1. The automated functional screen provides a great deal of information regarding individuals' functioning. Wisconsin intends to compare the initial screen to subsequent annual screens. We expect to see decreases in a variety of indicators such as ER use, inpatient stays, emergency detentions, physical aggression, and housing instability. Previous analysis of this data with other MH programs has demonstrated a high degree of statistical significance.	This analysis will be done by the DHS (SMA)	Annually	1. Counties with a high rate on one of these indicators that does not show comparable decreases over time will be asked to develop a Quality Improvement project around that indicator. Counties will be expected to maintain data to track improvements from the changes they make and to continue to make adjustments until they see an improvement in the specific indicator.
2. Adverse incident reports will also be tracked	DHS (SMA)	Annually	2. Counties with a pattern of incident reports may be asked to obtain training and/or implement a quality improvement project as appropriate. If patterns of adverse incident reports are noted across counties, the state will provide training to address those issues.

Methods and Standards for Establishing Payment Rates

- 1. Services Provided Under Section 1915(i) of the Social Security Act.** For each optional service, describe the methods and standards used to set the associated payment rate. *(Check each that applies, and describe methods and standards to set rates):*

<input type="checkbox"/>	HCBS Case Management
<input type="checkbox"/>	HCBS Homemaker
<input type="checkbox"/>	HCBS Home Health Aide
<input type="checkbox"/>	HCBS Personal Care
<input type="checkbox"/>	HCBS Adult Day Health
<input type="checkbox"/>	HCBS Habilitation
<input type="checkbox"/>	HCBS Respite Care

For Individuals with Chronic Mental Illness, the following services:	
<input type="checkbox"/>	HCBS Day Treatment or Other Partial Hospitalization Services
<input checked="" type="checkbox"/>	<p>HCBS Psychosocial Rehabilitation</p> <p><u>COMMUNITY LIVING SUPPORTIVE SERVICES</u></p> <p>OVERVIEW</p> <p>Providers will be reimbursed on an interim basis for Medicaid-covered Community Living Supportive Services provided to Medicaid-eligible clients for covered services delivered on or after the implementation date of these services. Providers submit CMS-approved annual cost reports of certified public expenditures, identifying total allowable Medicaid costs, including both federal and nonfederal expenditures for Medicaid-covered services provided by Medicaid qualified providers. The annual cost report will utilize federal principles of cost apportionment and federally required reporting methods. The report will include all expenditures related to the calculation of the Medicaid-allowable cost per unit of service. The Wisconsin Department of Health Services (DHS) will reconcile the Medicaid-allowable cost per unit of service to the provider's interim rate and cost settle the difference on all units of service delivered to Medicaid-eligible clients during the reporting period.</p> <p>INTERIM RATES</p> <p>On an interim basis, providers will be reimbursed the lower of billed charges or the interim rate. The interim rate is provisional payment pending the completion of the cost reconciliation and cost settlement processes for the cost report year. Public providers provide the nonfederal share through the certification of public expenditures process and, as a result, will only be reimbursed the federal share on an interim basis and upon final settlement.</p> <p>Interim rates for Community Living Supportive Services are established by the State. There will be two rates; one for services in the individual's own home or apartment and another for residential settings such as CBRF's and AFH's. There is a high degree of variability of the costs of residential settings currently serving individuals with mental illness. This variability is a result of the level of need of the individuals in a particular setting. Some AFHs serve individuals with greater needs than some CBRF's and vice versa. The residential interim rate was set at a level to meet the costs of a majority of residential settings, but not so high as to result in frequent overpayments.</p> <p>Initial interim rates are based on a review of rate setting methods for similar services of selected states and a review of rates for similar services currently provided in Wisconsin.</p> <p>The review of selected states determined reimbursement practices used in other states for similar services. Information reviewed included the scope of the programs under which the services are provided, the eligibility criteria for the programs and the methodology each state uses to calculate and set interim rates. Considerations for</p>

selecting states included geography, demographics, history of individual states' waiver programs, and examples of states cited as national models.

The review analyzed programs within Wisconsin that provide services to persons with mental illness that are similar in scope. Survey data was collected regarding those costs. Additional in depth analysis was completed at two counties currently providing these services.

The combination of the results of the other state review and review of similar state services determined best practices that the state followed in developing its interim rates.

After the completion and desk review of the first full year cost report, DHS will reevaluate its interim rates and revise them to reflect actual 1915(i) cost data reported by the counties.

ANNUAL COST REPORT PROCESS

Each governmental provider will complete an annual cost report in the format required by DHS and approved by CMS. Such cost report shall utilize and be incorporated into the state's proven Wisconsin Medicaid Cost Report (WIMCR) system, but with refinements to capture greater unit cost detail related to 1915(i). The report will cover services delivered in the prior calendar year and be due by May 1 of the following year. The following steps will be used to determine Medicaid-allowable cost per unit of service:

- A. The provider will identify direct costs to provide the covered services. Direct costs include residential facility costs exclusive of room and board, including residential staff costs, and operating costs such as client transportation, staff training, and staff certification
- B. The provider will identify nondirect and overhead costs to provide the covered services. Allocation of these costs to the covered services can be based on the salaries method, cost-to-cost method, or pro rata method. Nondirect and overhead costs include costs for nondirect service staff (e.g., administrators, supervisors, clerical, and other) and allowable overhead costs as dictated by the DHS Allowable Cost Policy Manual and OMB Circular A-87.
- C. The results from Paragraph A will be combined with the results from Paragraph B, to result in total allowable costs for the covered service for all payers.
- D. The results from Paragraph C will be divided by the total number of units of service irrespective of payer for the reporting period to result in the cost per unit of service.

- E. The results from Paragraph D will be multiplied by the number of Medicaid allowable units of service.

COST RECONCILIATION AND COST SETTLEMENT

DHS will review the annual cost reports submitted by providers, making adjustments as necessary in accordance with cost report instructions and the scope of costs approved by CMS.

The adjusted Medicaid-allowable cost per unit of service will be compared/reconciled to the provider's interim rate per service. The difference will be applied to the provider's total Medicaid allowable units of service in the cost settlement process.

Providers will be notified of all adjustments to their cost reports and the resulting cost settlement amounts, indicating the amount due to or from the provider, no later than 24 months after the close of the applicable cost-reporting period.

The State cannot adjust its interim rates prospectively to account for overpayment. Instead, if the provider's interim payments exceed the actual, certified costs of the provider, the federal share of the overpayment will be recouped either from offsetting all future claims payments from the provider until the amount of the federal share of the overpayment is recovered or the provider will return an amount equal to the overpayment in a lump sum payment.

If the provider's Medicaid-allowable costs exceed its interim payments, the federal share of the difference will be paid to the provider in accordance with the final certification agreement and claims will be submitted to CMS for reimbursement of that payment in the federal fiscal quarter following payment to the provider.

SUPPORTED EMPLOYMENT

OVERVIEW

Providers will be reimbursed on an interim basis for Medicaid-covered Supported Employment services provided to Medicaid-eligible clients delivered on or after the implementation date of these services. Providers submit CMS-approved annual cost reports of certified public expenditures, identifying total allowable Medicaid costs, including both federal and nonfederal expenditures for Medicaid-covered services provided by Medicaid qualified providers. The annual cost report will utilize federal principles of cost apportionment and federally required reporting methods. The report will include all expenditures related to the calculation of the Medicaid-allowable cost per unit of service. The Wisconsin Department of Health Services (DHS) will reconcile the Medicaid-allowable cost per unit of service to the provider's interim rate and cost

settle the difference on all units of service delivered to Medicaid-eligible clients during the reporting period.

INTERIM RATES

On an interim basis, providers will be reimbursed the lower of billed charges or the interim rate. The interim rate is provisional payment pending the completion of the cost reconciliation and cost settlement processes for the cost report year. Public providers provide the nonfederal share through the certification of public expenditures process and, as a result, will only be reimbursed the federal share on an interim basis and upon final settlement.

Interim rates for Supported Employment services are established by the State and there is a single statewide interim rate for the service.

Initial interim rates are based on a review of rate setting methods for similar services of selected states and a review of rates for similar services currently provided in Wisconsin.

The review of selected states determined reimbursement practices used in other states for similar services. Information reviewed included the scope of the programs under which the services are provided, the eligibility criteria for the programs and the methodology each state uses to calculate and set interim rates. Considerations for selecting states included geography, demographics, history of individual states' waiver programs, and examples of states cited as national models.

The review analyzed programs within Wisconsin that provide services to persons with mental illness that are similar in scope. Survey data was collected regarding those costs. Additional in depth analysis was completed at two counties currently providing these services.

The combination of the results of the other state review and review of similar state services determined best practices that the state followed in developing its interim rates.

After the completion and desk review of the first full year cost report, DHS will reevaluate its interim rates, and revise them to reflect actual Community Recovery Services (1915(i)) cost data reported by the counties.

ANNUAL COST REPORT PROCESS

Each governmental provider will complete an annual cost report in the format required by DHS and approved by CMS. Such cost report shall utilize and be incorporated into the state's proven Wisconsin Medicaid Cost Report (WIMCR) system, but with refinements to capture greater unit cost detail related to 1915(i). The report will cover services delivered in the prior calendar year and be due by May 1 of the following year. The following steps will be used to determine Medicaid-allowable cost per unit of service:

- F. The provider will identify direct costs to provide the covered services. Direct costs include staff costs (e.g., salaries, payroll taxes, employee benefits, and contacted compensation) of service providers and costs directly related to the approved services providers for the delivery of covered services, such as purchased services, staff travel/training, licensure/certification renewal and/or continuing education costs, and materials and supplies.
- G. The provider will identify nondirect and overhead costs to provide the covered services. Allocation of these costs to the covered services can be based on the salaries method, cost-to-cost method, or pro rata method. Nondirect and overhead costs include costs for nondirect service staff (e.g., administrators, supervisors, clerical, and other) and allowable overhead costs as dictated by the DHS Allowable Cost Policy Manual and OMB Circular A-87.
- H. The results from Paragraph F will be combined with the results from Paragraph G, to result in total allowable costs for the covered service for all payers.
- I. The results from Paragraph H will be divided by the total number of units of service irrespective of payer for the reporting period to result in the cost per unit of service.
- J. The results from Paragraph I will be multiplied by the number of Medicaid allowable units of service.

COST RECONCILIATION AND COST SETTLEMENT

DHS will review the annual cost reports submitted by providers, making adjustments as necessary in accordance with cost report instructions and the scope of costs approved by CMS.

The adjusted Medicaid-allowable cost per unit of service will be compared/reconciled to the provider's interim rate per service. The difference will be applied to the provider's total Medicaid allowable units of service in the cost settlement process.

Providers will be notified of all adjustments to their cost reports and the resulting cost settlement amounts, indicating the amount due to or from the provider, no later than 24 months after the close of the applicable cost-reporting period.

The State cannot adjust its interim rates prospectively to account for overpayment. Instead, if the provider's interim payments exceed the actual, certified costs of the provider, the federal share of the overpayment will be recouped either from offsetting all future claims payments from the provider until the amount of the federal share of the overpayment is recovered or the provider will return an amount equal to the overpayment in a lump sum payment.

If the provider's Medicaid-allowable costs exceed its interim payments, the

federal share of the difference will be paid to the provider in accordance with the final certification agreement and claims will be submitted to CMS for reimbursement of that payment in the federal fiscal quarter following payment to the provider.

PEER SUPPORTS

OVERVIEW

Providers will be reimbursed on an interim basis for Medicaid-covered Peer Supports services provided to Medicaid-eligible clients delivered on or after the implementation date of these services. Providers submit CMS-approved annual cost reports of certified public expenditures, identifying total allowable Medicaid costs, including both federal and nonfederal expenditures for Medicaid-covered services provided by Medicaid qualified providers. The annual cost report will utilize federal principles of cost apportionment and federally required reporting methods. The report will include all expenditures related to the calculation of the Medicaid-allowable cost per unit of service. The Wisconsin Department of Health Services (DHS) will reconcile the Medicaid-allowable cost per unit of service to the provider's interim rate and cost settle the difference on all units of service delivered to Medicaid-eligible clients during the reporting period.

INTERIM RATES

On an interim basis, providers will be reimbursed the lower of billed charges or the interim rate. The interim rate is provisional payment pending the completion of the cost reconciliation and cost settlement processes for the cost report year. Public providers provide the nonfederal share through the certification of public expenditures process and, as a result, will only be reimbursed the federal share on an interim basis and upon final settlement.

Interim rates for Peer Supports services are established by the State and there is a single statewide interim rate for the service.

Initial interim rates are based on a review of rate setting methods for similar services of selected states and a review of rates for similar services currently provided in Wisconsin.

The review of selected states determined reimbursement practices used in other states for similar services. Information reviewed included the scope of the programs under which the services are provided, the eligibility criteria for the programs and the methodology each state uses to calculate and set interim rates. Considerations for selecting states included geography, demographics, history of individual states' waiver programs, and examples of states cited as national models.

The review analyzed programs within Wisconsin that provide services to persons with mental illness that are similar in scope. Survey data was collected regarding those costs. Additional in depth analysis was completed at two counties currently providing these

services.

The combination of the results of the other state review and review of similar state services determined best practices that the state followed in developing its interim rates.

After the completion and desk review of the first full year cost report, DHS will reevaluate its interim rates, and revise them to reflect actual 1915(i) cost data reported by counties.

ANNUAL COST REPORT PROCESS

Each governmental provider will complete an annual cost report in the format required by DHS and approved by CMS. Such cost report shall utilize and be incorporated into the state's proven Wisconsin Medicaid Cost Report (WIMCR) system, but with refinements to capture greater unit cost detail related to 1915(i). The report will cover services delivered in the prior calendar year and be due by May 1 of the following year. The following steps will be used to determine Medicaid-allowable cost per unit of service:

- K. The provider will identify direct costs to provide the covered services. Direct costs include staff costs (e.g., salaries, payroll taxes, employee benefits, and contracted compensation) of service providers and costs directly related to the approved services providers for the delivery of covered services, such as purchased services, staff travel/training, licensure/certification renewal and/or continuing education costs, and materials and supplies.
- L. The provider will identify nondirect and overhead costs to provide the covered services. Allocation of these costs to the covered services can be based on the salaries method, cost-to-cost method, or pro rata method. Nondirect and overhead costs include costs for nondirect service staff (e.g., administrators, supervisors, clerical, and other) and allowable overhead costs as dictated by the DHS Allowable Cost Policy Manual and OMB Circular A-87.
- M. The results from Paragraph K will be combined with the results from Paragraph L, to result in total allowable costs for the covered service for all payers.
- N. The results from Paragraph M will be divided by the total number of units of service irrespective of payer for the reporting period to result in the cost per unit of service.
- O. The results from Paragraph N will be multiplied by the number of Medicaid allowable units of service.

	<p>COST RECONCILIATION AND COST SETTLEMENT</p> <p>DHS will review the annual cost reports submitted by providers, making adjustments as necessary in accordance with cost report instructions and the scope of costs approved by CMS.</p> <p>The adjusted Medicaid-allowable cost per unit of service will be compared/reconciled to the provider's interim rate per service. The difference will be applied to the provider's total Medicaid allowable units of service in the cost settlement process.</p> <p>Providers will be notified of all adjustments to their cost reports and the resulting cost settlement amounts, indicating the amount due to or from the provider, no later than 24 months after the close of the applicable cost-reporting period.</p> <p>The State cannot adjust its interim rates prospectively to account for overpayment. Instead, if the provider's interim payments exceed the actual, certified costs of the provider, the federal share of the overpayment will be recouped either from offsetting all future claims payments from the provider until the amount of the federal share of the overpayment is recovered or the provider will return an amount equal to the overpayment in a lump sum payment.</p> <p>If the provider's Medicaid-allowable costs exceed its interim payments, the federal share of the difference will be paid to the provider in accordance with the final certification agreement and claims will be submitted to CMS for reimbursement of that payment in the federal fiscal quarter following payment to the provider.</p>
	<p><input type="checkbox"/> HCBS Clinic Services (whether or not furnished in a facility for CMI)</p>

State: Wisconsin

HealthCheck (EPSDT) Other Services, continued

4. Comprehensive Treatment

See "Comprehensive Treatment" under Behavioral Treatment Services in Section 6.d.,
Other Practitioners.

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group A:

Recipients participating in Community Care Organizations (CCO's).

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

LaCrosse County, Milwaukee County, and Barron County.

Services will be available if the provider elects to participate in case management services.

C. Comparability of Services:

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

Includes assessment of recipients, development of case plans and ongoing monitoring and follow-up services. To assure that recipients receive appropriate services in an effective manner, the provider is responsible for locating, coordinating and monitoring one or more medical, educational and social service.

E. Qualification of Providers:

See the narrative that follows and narrative E. in the following section for Target Group C.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients who are participating in Community Care Organizations (CCO's) must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group B:

Recipients of early periodic screening, diagnosis and testing services (HealthCheck).

B. Areas of State in which services will be provided:

Eff. ☒ Entire State.

4-1-93

See narrative B. in the following section for Target Group C, page 1-C-1.

Currently, this benefit is available statewide, but provider participation is voluntary.

☐ Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide).

C. Comparability of Services:

☒ Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☐ Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

Case Management Services are defined as including the following activities for targeted recipients: pro-active outreach to get non-users into a screening, a comprehensive health and social service assessment, referral to resources beyond the EPSDT screening process, health and MA utilization education, removal of barriers to accessing service resources (both EPSDT related, and non-covered), follow-up and linkage of the recipient to a primary care physician and dentist (as appropriate) for future care.

E. Qualification of Providers:

Medicaid-certified providers of EPSDT health assessment and evaluation services shall be eligible to receive reimbursement for EPSDT case management in accordance with the limitations contained in the case management agreement between the provider and the department.

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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group C:

Recipients who are age 65 or older. See attached.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

The benefit is available statewide, but provider participation will be voluntary. It is assumed that initial participation of providers will see a majority of counties covered, and most target populations selected. The State will require the county board of supervisors in any county in which the benefit is provided, to elect to have this benefit offered. This will ensure coordination and enhance case management.

Eff. 4-1-93 All but the following counties have indicated that they provide case management services for persons in this target group: Adams, Douglas, Florence, Jefferson, Vernon and Washington.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See attached.

E. Qualification of Providers:

See attached.

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- F. The State assures that the provision of case management services will not restrict an individual's freedom of choice with regard to providers in violation of Section 1902(a)(23) of the Act.
1. Eligible recipients will have free choice of the providers of case management services.
 2. Eligible recipients will have free choice of other health care providers under the plan.
- G. Payment for case management services under the plan does not duplicate payments made to public agencies or private entities under other program authorities for this same purpose.

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A. TARGET GROUP:

Targeted Group: This target group consists of persons who are:

1. At least 65 years old or older and who are:
 - a. Medically eligible for Medical Assistance (MA);
 - b. Recipients with a long-term chronic or irreversible illness or disability resulting in significant functional impairment;
 - c. Documented as having multiple, complex, and diverse service needs and an inability or lack of a support system to meet those needs without the availability of case management;
 - d. Residing in their own homes, the home of another or in a community home.

D. DEFINITION OF MEDICAID - COVERED CASE MANAGEMENT SERVICES

Case management services are those services and activities which help MA recipients, and when appropriate, their families, to identify their needs, and manage and gain access to necessary medical, social, rehabilitation, vocational, educational, and other services.

Basic Assumptions

There are some basic assumptions upon which MA coverage of case management (CM) is based.

First, CM is viewed as an instrument used by CM providers to effectively manage multiple resources for and to gain access and have linkages with needed services for the benefit of MA-eligible persons who belong to the targeted group(s).

Effective management is concerned with the adequacy, quality and continuity of CM services. Gaining access to and having linkages with needed services is concerned with the availability of services, the identification of appropriate service providers, and the determination that case management providers and other service providers can and will serve recipients. In order to further ensure the effectiveness of case management, ongoing monitoring and service coordination will be done by one case manager. This furthers consistency with regard to the delivery of CM services and affords a single contact point for the recipient.

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Targeted groups consist of functionally and/or developmentally limited persons with multiple needs and/or high vulnerability who require intensive and/or ongoing intervention by health, social, and other human services providers.

Second, recipients will voluntarily participate in CM services by maintaining contact with and receiving services from case management provider(s). MA recipients will be free to choose CM services when they become aware of those services and those case management providers available to them. The State of Wisconsin is prepared to assure a recipient's knowledge and freedom of choice of provider by informing recipients through a Recipient Handbook and through MA Recipient written and telephone services. Furthermore, freedom of choice is guaranteed through service monitoring and the establishment of a complaint and investigating capacity in the Department of Health and Social Services' (DHSS) Bureau of Long Term Support. This will be in addition to the normal appeal rights to which any recipient is entitled. Recipients and their families shall participate, to the fullest extent of their ability, in all decisions regarding appropriate services and case management providers.

Even though MA is funding CM services as an enhancement of Medicaid funding and as an extension of traditional Medicaid services, the State will focus on appropriate CM practices as they relate to human services needs as well as the more specialized Medicaid requirements.

Core Elements of Case Management

MA reimbursement will be available only to CM providers with qualified staff, the capability of delivering all of the following elements of CM, and who are certified by the DHSS. It should be noted that not all recipients assessed will actually need case management. As a result of the assessment, it may be determined that further CM service components are not appropriate or necessary for a recipient. However, each case management provider must make all of the following elements available for all assessed persons who are determined to need CM services.

1. Assessment - A CM provider must have the capacity and ability to perform a written comprehensive assessment of a person's abilities, deficits, and needs. Persons from relevant disciplines should be used to document service gaps and unmet needs. All services appropriate to the recipient's needs should be part of this activity. The following areas must be documented and addressed when relevant:

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- a. Identifying information (referral source, emergency contacts, source of assessment information, etc.);
- b. Physical and/or dental health assessments and consideration of potential for rehabilitation (health problems/concerns, current diagnoses, medications, treatments, physical and/or sensory impairments, etc.);
- c. Review of the recipient's performance in carrying out activities of daily living (such as mobility levels, personal care, household chores, personal business, and the amount of assistance required);
- d. Social interactive skills and activities (behavior problems or concerns, alcohol/drug abuse, etc.);
- e. Record of psychiatric symptomology and mental and emotional status (intellectual functioning, mental impairments, alcohol/drug abuse, etc.);
- f. Identification of social relationships and support (informal care givers, i.e., family, friends, volunteers, formal service providers, significant issues in relationships, social environment);
- g. Description of the recipient's physical environment (safety and mobility in home and accessibility);
- h. In-depth financial resource analysis and planning, (including identification of and coordination with insurance and veteran's benefits, and other sources of financial assistance);
- i. Recipient's need for housing, residential support, adaptive equipment (and assistance with decision-making in these areas);
- j. Vocational and educational status and daily structure (prognosis for employment, educational/vocational needs, appropriateness/availability of educational programs);
- k. Legal status, if appropriate (guardian relationships, involvement with the legal system);
- l. Accessibility to community resources needed or wanted by the recipient.

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- m. For a recipient identified as severely emotionally disturbed under age 21, a record of the multidisciplinary team evaluation required under state law.
- n. Assessment of drug and/or alcohol use and misuse for recipients identified as alcoholic or drug dependent.

Assessments must be done by a person or persons from a discipline that matches the needs and/or dysfunctions identified in the specific target population in which the recipient is included. Persons from other disciplines will be included when results of the assessment are interpreted. Using the assessment to document service gaps and unmet needs enables the CM provider to act as an advocate for the recipient and to assist other human service providers in planning and program development on the recipient's behalf.

Should the assessment reveal that the recipient does not need CM services, appropriate referrals should be made to meet other client needs.

- 2. Case Plan Development - Following the assessment and determination of the need for case management, the case management provider develops a written plan of care, called the case plan, as a vehicle to address the needs of the recipient, enabling him/her to live in the community. To the maximum extent possible, the development of a case plan is a collaborative process involving the recipient, the family or other support systems and the case management provider. It is a negotiated agreement on the short- and long-term goals of care and includes at a minimum:
 - a. Problems identified during the assessment;
 - b. Goals to be achieved;
 - c. Identification of all formal services to be arranged for the recipient, including costs and the names of the service providers;
 - d. Development of a support system, including a description of the recipient's informal support system;
 - e. Identification of individuals who participated in development of the plan of care;

- f. Schedules of initiation and frequency of the various services to be made available to the recipient, and
- g. Documentation of unmet needs and gaps in service(s).

Services for every case management recipient must be guided by a written case plan.

- 3. Ongoing Monitoring and Service Coordination - The CM provider ascertains, on an ongoing basis, what services have been or are being delivered to a recipient, and whether they are adequate for the recipient's needs. A single case manager will be assigned to the recipient to provide supportive contact to ensure that the person is able to access services, is actually receiving services, or is engaging in activities specified in the recipient's case plan. Client and family satisfaction and participation is also monitored. The case manager will identify any changes in the client's condition that would require an adjustment in the case plan or arrangements for other services. This monitoring function does not preclude independent monitoring for purposes of evaluation of MA quality assurance.

Ongoing monitoring and service coordination includes:

- a. Face-to-face and telephone contacts with recipients (who are not hospital inpatient or nursing home residents) for the purpose of assessing or reassessing needs, or planning or monitoring services;
- b. Face-to-face and telephone contact with collaterals for the purposes of mobilizing services and support, advocating on behalf of a recipient, educating collaterals, and to evaluate and coordinate services specified in the plan;
- c. Case management staff time spent on case-specific staffings and formal case consultation with the unit supervisor/other professionals regarding the needs of the recipient;
- d. Recordkeeping necessary for case planning, coordination and service monitoring.

4. Discharge Planning

If the recipient enters an inpatient hospital, nursing facility, or ICF-MR, the case management provider may bill for discharge-related case management services up to 30 days prior to discharge from the institutional setting. WMAP discharge-related case management services may not duplicate discharge planning services that the institution normally is expected to provide as part of inpatient services.

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E. QUALIFICATION OF CASE MANAGEMENT PROVIDERS

Providers - CM providers must be certified by the Department as meeting the following criteria:

1. Demonstrated capacity to provide all core elements of case management services, including:
 - a. Comprehensive recipient assessment;
 - b. Comprehensive case plan development;
 - c. Comprehensive ongoing monitoring and services coordination.
2. Demonstrated CM experience in coordinating and linking such community resources as required by the target population(s);
3. Demonstrated experience with the needs and dysfunctions of the target population(s);
4. A sufficient staff to meet the CM service needs of the target population(s);
5. An administrative capacity to insure quality of services in accordance with State and Federal requirements;
6. A financial management capacity and system that provides documentation of services and costs;
7. Capacity to document and maintain individual case records in accordance with State and Federal requirements.

Qualifications of Personnel: Qualifications for individuals performing case management are divided into two levels: One skill level and proficiency is for individuals performing assessments and case plans, and another is for individuals performing ongoing monitoring and service coordination. It should be noted that many knowledges and skills overlap between the two groups.

Qualifications for individuals performing assessments and case planning are:

1. Knowledge concerning the local service delivery system;
2. Knowledge of the needs and dysfunctions of the target group(s);

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3. Knowledge of the need for integrated services and of the resources available;
4. A degree in a related human services field and one year of experience, or two years of experience working with the persons in the targeted population(s) for which they are employed, or an equivalent combination of training and experience.

Case managers providing ongoing monitoring and service coordination must be knowledgeable about:

1. The local service(s) delivery system(s);
2. The needs and dysfunctions of the recipient group(s);
3. The need for integrated services;
4. The resources available or needing to be developed.

The knowledge with regard to the provision of ongoing monitoring and service coordination is typically gained through at least one year of supervised experience working with the persons in the program's target group(s).

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SUPPLEMENT 1 TO ATTACHMENT 3.1-A
Page 1-D-1
OMB No.: 0939-0193

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group D:

Recipients with Alzheimer's disease or related dementia.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

See narrative B. in the preceding section for Target Group C, page 1-C-1.

Eff. 4-1-93 All but the following counties have indicated that they provide case management services for persons in this target group: Ashland, Shawano, and Washington.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP

Target Group D: This target group consists of persons with a physician's diagnosis of Alzheimer's disease or related dementia, i.e., a degenerative disease of the central nervous system characterized especially by premature senile mental deterioration. This also includes any other irreversible deterioration of intellectual faculties with concomitant emotional disturbance resulting from this organic brain disorder.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients with Alzheimer's disease or related dementia must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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Page 1-E-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group E:

Recipients who are physically or sensory disabled.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

See narrative B. in the preceding section for Target Group C, page 1-C-1.

Eff. 4-1-93 All but the following counties have indicated that they provide case management services for persons in this target group:
Shawano and Washington.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP:

Target Group E: This target group consists of persons with one or more conditions affecting physical or sensory functioning, limiting mobility or the ability to see or hear, resulting from injury, disease or congenital deficiency which significantly interferes with or limits one or more major life activities, and the performance of major personal or social roles.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients with a physical or sensory disability must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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Page 1-F-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group F:

Recipients who are developmentally disabled.

B. Areas of State in which services will be provided:

☒ Entire State.

See narrative B. in the preceding section for Target Group C, page 1-C-1.

Eff. 4-1-93 Currently, this benefit is available statewide, but provider participation is voluntary.

☐ Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

C. Comparability of Services

☐ Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒ Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative in D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP

Target Group F: This target group consists of persons with one or more disabilities attributable to brain injury, cerebral palsy, epilepsy, autism, mental retardation, or other neurological condition(s) closely related to mental retardation or requiring treatment similar to that required for mental retardation, which was manifested before the individual reaches age 22, has continued or can be expected to continue indefinitely and constitutes a substantial handicap to the affected recipient. Developmental disability does not include mental illness or senility which is primarily caused by the process or infirmities of aging.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients who are developmentally disabled must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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Page 1-G-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group G:

Recipients who are chronically mentally ill, and age 21 or older.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

See narrative B. in the preceding section for Target Group C, page 1-C-1.

Eff. 4-1-93 All but the following counties have indicated that they provide case management services for persons in this target group: Iowa County.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP

Target Group G: This target group consists of persons aged 21 or over with mental illness which is severe in degree and persistent in duration causing a substantially diminished level of functioning in the primary aspects of daily living and an inability to cope with the ordinary demands of life. These conditions may lead to an inability to maintain stable adjustment and independent functioning without long-term treatment and support, which may be of lifelong duration. The chronically mentally ill group includes persons with schizophrenia as well as a wide spectrum of psychotic and other severely disabling psychiatric diagnostic categories. This target group does not include persons with the infirmities of aging, or a primary diagnosis of mental retardation or of alcohol and/or drug dependence.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients who are chronically mentally ill must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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Page 1-H-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group H:

Recipients who are alcohol and/or other drug dependent.

B. Areas of State in which services will be provided.

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

See narrative B. in the preceding section for Target Group C, page 1-C-1.

Eff. 4-1-93 All but the following counties have indicated that they provide case management services for persons in this target group: Columbia, Douglas, Iowa, Ozaukee and Washington.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP:

Target Group H: This target group consists of persons who are dependent on drugs and/or alcohol to the extent that the person's health is substantially impaired or endangered, or economic functioning is substantially disrupted.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients who are alcohol or drug dependent must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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Page 1-I-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group I:

Recipients who are severely emotionally disturbed and under age 21.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g) (1) of the Act is invoked to provide services less than Statewide:

See narrative B. in the preceding section for Target Group C, page 1-C-1.

Eff. 4-1-93 All but the following counties have indicated that they provide case management services for persons in this target group: Adams, Clark, Columbia, Crawford, Marinette, Pepin and Washington.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a) (10) (B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g) (1) of the Act is invoked to provide services without regard to the requirements of section 1902(a) (10) (B) of the Act.

D. Definition of Services:

See narrative D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP:

Target Group I: This target group consists of persons who are under age 21 with emotional and behavioral problems which are all of the following:

- a. Severe in degree, with the presence of a mental or emotional disturbance diagnosable under DSM-III-R;
- b. Expected to persist for at least one year;
- c. Substantially interfering with the person's functioning in the family, schools, or community and with the person's ability to cope with the ordinary demands of life;
- d. Causing the person to need services from two or more of the following systems: mental health, juvenile justice, social services, child welfare, special education or health organizations.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients who are severely emotionally disturbed must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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Page 1-J-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group J:

High risk pregnant and postpartum women - See attached.

B. Areas of State in which services will be provided:

☒

Entire State.

☐

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

See definition in B. 1-C, above.

Case Management services for persons in this target group are not provided in the following counties: _____

C. Comparability of Services:

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

Covered services include risk assessment, care planning, ongoing care coordination and monitoring. See attached.

E. Qualifications of Providers:

See attached 1-J-4.

A. TARGET GROUP:

Targeted Group: This target group consists of all Medical Assistance recipients throughout the entire state who meet the following criteria:

1. Pregnant and postpartum women (up to 60 days after delivery);
2. Expected to have difficulty receiving proper medical care; and
3. Determined by administering the Department-sanctioned risk assessment to be at high risk for adverse pregnancy outcomes such as a preterm births or low birth weight babies due to medical and nonmedical factors.

D. DEFINITION OF SERVICES

1. General Description: Prenatal care coordination services assist recipients at high risk for adverse pregnancy outcomes, and when appropriate, assist individuals related to the recipient. This assistance is to: gain access to; coordinate with; assess and follow-up on necessary medical, social, educational, and other services related to the recipient's pregnancy. Prenatal care coordination services usually include: risk assessment, care planning, ongoing care coordination and monitoring.

(Nutrition counseling and health education services, components of prenatal care coordination, are under the extended services to pregnant women section of this plan. Outreach, a component of prenatal care coordination, is an administrative service.)

2. Definitions:

- a. High risk for adverse pregnancy outcome means a situation where a pregnant woman has a high probability of having a preterm birth, a low birth weight baby or other negative birth outcome because of medical and/or nonmedical factors including psychosocial, behavioral, environmental, educational and nutritional factors. These risk factors are identified by administering the Department-sanctioned risk assessment. To decrease the identified risks, additional prenatal care services and follow-up services are provided through this benefit.
- b. Risk assessment. A risk assessment is a written appraisal of a recipient's pregnancy-related needs to determine if a recipient is at high risk of an adverse pregnancy outcome and to determine the type and level of the recipient's needs. When conducting the risk assessment the certified provider utilizes a Department-sanctioned instrument. The assessment must be performed by a person either employed by or contracted with the certified prenatal care coordination agency and must be reviewed by a qualified professional.

- c. Care planning. Following completion of the risk assessment and determination of the need for prenatal care coordination, the prenatal care coordination provider will do care planning. Care planning is development of an individualized written plan of care which will identify needs, problems and possible services to reduce the recipient's identified risk factors and therefore reduce the probability of the recipient having a preterm birth, low birth weight baby or other negative birth outcomes. Care planning provides the means to ensure that through all care coordination services the recipient has accessible, coordinated, adequate, quality, and continuous services to address her identified needs. Care planning must be performed by a person employed by or contracted with the MA-certified prenatal care coordination agency. To the maximum extent possible, the development of a care plan is done in collaboration with the recipient, the family or other supportive persons.
- d. Plan of Care. The plan of care is a written document that may include, but is not limited to:
- (1) Identification and prioritization of risks found during the assessment;
 - (2) Identification and prioritization of all services and service providers to be arranged for the recipient;
 - (3) Description of the recipient's informal support system and activities to strengthen it;
 - (4) Identification of individuals who participated in the development of the plan of care;
 - (5) Arrangements made for and frequency of the various services to be made available to the recipient and the expected outcome for each service component;
 - (6) Documentation of unmet needs and gaps in service; and
 - (7) Responsibilities of the recipient in the participation of the plan.
- e. Ongoing care coordination and monitoring. After the development of the plan of care, ongoing care coordination and monitoring is the supervision of the provision of the services to ensure that quality service is being provided and to evaluate whether a particular service is effectively meeting the recipient's needs and reaching the goals and objectives of the care plan. Ongoing care coordination and monitoring is performed by a person who is employed by or under contract with the prenatal care coordination agency and is supervised by or is a qualified professional.

1-J-4

Ongoing care coordination and monitoring services may include, but are not limited to:

- (1) Face-to-face and telephone contacts with recipients and related individuals for the purpose of following up on arranged services;
- (2) Documentation to record care plan management activities.

B. QUALIFICATION OF PROVIDERS

Prenatal Care Coordination Provider Certification

Any provider that meets the criteria outlined below is eligible to become certified as a prenatal care coordination provider.

1. Clinics and agencies that have experience in serving low income people as well as pregnant women and their families. These clinics and agencies include but are not limited to: community-based agencies or organizations; county, city or combined local public health agencies; departments of human or social services; family planning agencies; federally qualified health centers (FQHCs); health maintenance organizations (HMOs); independent physician associations (IPAs); hospital facilities; physician offices and clinics; registered nurses or nurse practitioners; rural health clinics; tribal agencies and health centers; private case management agencies; and Women, Infant, Children (WIC) programs.
2. Agencies, organizations and providers eligible to become certified as prenatal care coordination providers will meet the following staffing standards:
 - a. A prenatal care coordination agency employs at least one qualified professional with experience in coordinating services for at-risk and low-income women.
 - b. Qualified professionals are employed by or under contract with a certified prenatal care coordination agency that bills for the services and may include: licensed and registered nurses, certified midwives, physicians, physician assistants, registered dietitians, bachelor's degree social workers and health educators.
3. Prenatal care coordination providers are required to meet the Medicaid Program's documentation, recordkeeping and reimbursement requirements.

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Page 1-K-1
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group K:

Persons diagnosed as having HIV infection.

B. Areas of State in which services will be provided:

☒ Entire State.

Currently this benefit is available statewide, but provider participation is optional.

☐ Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

See narrative B. in the preceding section for Target Group C, page 1-C-1.

C. Comparability of Services:

☐ Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒ Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the preceding section for Target Group C.

E. Qualification of Providers:

See narrative E. in the preceding section for Target Group C and the narrative that follows.

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A. TARGET GROUP:

Targeted Group K: This target group consists of persons diagnosed as having any strain of human immunodeficiency virus which causes acquired immunodeficiency syndrome.

E. QUALIFICATION OF PROVIDERS

Providers of case management services to recipients who are diagnosed as having HIV infection must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group L:

Recipients who are infected with tuberculosis.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

The benefit is available statewide, but provider participation will be voluntary. It is assumed that initial participation of providers will see a majority of counties covered, and most target populations selected. The State will require the county board of supervisors in any county in which the benefit is provided, to elect to have this benefit offered. This will ensure coordination and enhance case management.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the section for Target Group C.

E. Qualification of Providers:

See narrative E. in the section for Target Group C and the narrative that follows:

Qualifications of Providers

Providers of case management services to recipients infected with tuberculosis must be knowledgeable concerning local service delivery systems, the needs of this recipient group, and the need for integrated services and the resources available.

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group M:

Recipients up to age 21 who are diagnosed as having asthma. See attached.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

The benefit is available statewide, but provider participation will be voluntary. It is assumed that initial participation of providers will see a majority of counties covered, and most target populations selected. The State will require the county board of supervisors in any county in which the benefit is provided, to elect to have this benefit offered. This will ensure coordination and enhance case management.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the section for Target Group C.

E. Qualification of Providers:

See narrative E. in the section for Target Group C and the narrative that follows.

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. TARGET GROUP

Target Group M: This target group consists of recipients under the age of 21 who are diagnosed as having asthma and require case management services to ensure that they receive appropriate intervention and to prevent a deterioration of their condition.

E. QUALIFICATIONS OF PROVIDERS

Providers of case management services to recipients under age 21 with asthma must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

In addition to the qualifications noted under section E. for target group C., registered nurses who are knowledgeable about the local service delivery system, the needs and dysfunctions of this recipient group and the need for integrated services and the resources available or needing to be developed may provide any of the components of case management.

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group N:

Families with children up to the age of 21 who are at risk of physical, mental or emotional dysfunction.

B. Areas of State in which services will be provided:

☐ Entire State.

☒ Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

The benefit is available statewide, but provider participation will be voluntary, or as established by the State Legislature. It is assumed that initial participation of providers will see a majority of counties covered, and most target populations selected. The State will require the county board of supervisors in any county in which the benefit is provided, to elect to have this benefit offered, except that in a county of 500,000 population or greater, the Department may choose to make this benefit available. This will ensure coordination and enhance case management.

C. Comparability of Services:

☐ Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒ Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the section for Target Group C and the narrative that follows, or as established by the State Legislature.

E. Qualification of Providers:

See narrative E. in the section for Target Group C and the narrative that follows, or as established by the State Legislature.

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Substitute page

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. TARGET GROUP

Target Group N: This target group consists of families of recipients under the age of 21 who are at risk of physical, mental or emotional dysfunction. A child is at risk if any of the following apply:

- ▶ The child exhibits biological or environmental characteristics associated with a heightened probability of developing a chronic physical, developmental, behavioral or emotional condition and requires health or health related services of a type or amount beyond that required by children generally.
- ▶ There is a finding that the child has been maltreated or a finding that there is a significant probability of maltreatment.
- ▶ The child has been placed in substitute care.
- ▶ The child is involved with the juvenile justice system.
- ▶ The primary caregiver has a mental illness, developmental disability or substance abuse disorder.
- ▶ The child's mother required care coordination services during her pregnancy with the child because of the risk of an adverse birth outcome, and coordination activities continue to be required to ensure the best possible health outcome for the child.

D. DEFINITION OF SERVICES

The basic components of targeted case management (assessment, case planning, on-going monitoring and service coordination, and institutional discharge planning), as described in section D for target group C, all apply to this target group. However, the focus of this target group on the family of the child at risk requires that some additional issues be addressed within these components to ensure that all the factors which place the child at risk are addressed in the most efficient manner.

Assessment: In addition to completing the comprehensive assessment for the identified child at risk, the case manager will also:

- ▶ Assess the needs of any primary caregiver, where that person's condition (e.g., mental illness, substance abuse disorder, maltreatment) is the primary reason for the child being at risk and the caregiver is not already served by a case manager under MA. The assessment shall include those components of the comprehensive assessment which are applicable to the caregiver's situation.

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Page 1-N-3
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

SPA Case Management: Family Case Management

- ▶ Assess the needs of other child(ren) in the family when the conditions placing the identified child at risk might also place the other child(ren) at risk (e.g., maltreatment) and the other child(ren) are not already served by a case manager under MA. The assessment shall include only those components of the comprehensive assessment which are applicable to the other child(ren). Where components of the assessment apply equally to the identified at risk child and other child(ren) in the family, these components should not be duplicated in the assessment of the other child(ren) in the family (e.g., needs of the primary care giver).
- ▶ Assess the family's ability to provide for the needs of the identified at risk child and other children in the family deemed to be at risk after further assessment. This should include an assessment of the family's ability to utilize the system of health and health-related services in addition to other community-based social and other services which may be needed to address the needs of the identified at-risk child.
- ▶ Assess the involvement of other case managers who may be working with members of the family.

Case Plan: The case plan should address the case plan elements a.-g. under section D for target group C as they apply to the assessment of the needs of the identified at risk child, or the needs of Medicaid eligible caregivers and other children in the family. In addition, where multiple members of the family have case managers, whether related to the specific conditions placing the identified child at risk or not, the case plan will identify how the activities of the various case managers will be coordinated so that duplication of effort will not occur.

E. QUALIFICATIONS OF PROVIDERS

Providers of case management services to families of children at risk of physical, mental and emotional dysfunction must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

In addition to the qualifications noted under section E. for target group C., registered nurses who are knowledgeable about the local service delivery system, the needs and dysfunctions of this recipient group and the need for integrated services and the resources available or needing to be developed may provide any of the components of case management.

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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group O:

Persons enrolled in the ~~Birth to Three Program~~. See attached.

B. Areas of State in which services will be provided:

☐

Entire State.

☒

Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

The benefit is available statewide, but provider participation will be voluntary. It is assumed that initial participation of providers will see a majority of counties covered, and most target populations selected. The State will require the county board of supervisors in any county in which the benefit is provided, to elect to have this benefit offered. This will ensure coordination and enhance case management.

C. Comparability of Services

☐

Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒

Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the section for Target Group C.

E. Qualification of Providers:

See narrative E. in the section for Target Group C and the narrative that follows.

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SUPPLEMENT 1 TO ATTACHMENT 3.1-A
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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. TARGET GROUP

Target Group O: This target group consists of recipients who are receiving services from a program certified under Ch. HSS 90 WI Adm. Code. These recipients are aged birth to three and significantly delayed developmentally insofar as their cognitive development, physical development, including vision and hearing, communication development, social and emotional development or development of adaptive behavior and self-help skills is concerned, or are diagnosed as having a physical or mental condition which is likely to result in significantly delayed development.

E. QUALIFICATIONS OF PROVIDERS

Providers of case management services to recipients in the birth to three program must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin

TARGETED CASE MANAGEMENT SERVICES
Target Group P

Target Group (42 Code of Federal Regulations 441.18(8)(i) and 441.18(9)):

Target group includes Milwaukee County and City of Racine postpartum women and their infants who are at risk of child abuse and neglect as determined by the department. This includes post-partum women and infants with medical needs. In Milwaukee County, these recipients remain in the target group until the child is 7 years old. In the City of Racine, these recipients remain in the target group until the child is 2 years old.

☒ Target group includes individuals transitioning to a community setting. Case-management services will be made available for up to 30 consecutive days of a covered stay in a medical institution. The target group does not include individuals between ages 22 and 64 who are served in Institutions for Mental Disease or individuals who are inmates of public institutions). (State Medicaid Directors Letter (SMDL), July 25, 2000)

Areas of State in which services will be provided (§1915(g)(1) of the Act):

☐ Entire State

☒ Only in the following geographic areas: **Milwaukee County and City of Racine**

Comparability of services (§§1902(a)(10)(B) and 1915(g)(1))

☐ Services are provided in accordance with §1902(a)(10)(B) of the Act.

☒ Services are not comparable in amount duration and scope (§1915(g)(1)).

Definition of services (42 CFR 440.169): Targeted case management services are defined as services furnished to assist individuals, eligible under the State Plan, in gaining access to needed medical, social, educational and other services. Targeted Case Management includes the following assistance:

- ❖ Comprehensive assessment and periodic reassessment of individual needs, to determine the need for any medical, educational, social or other services. These assessment activities include
 - taking client history;
 - identifying the individual's needs and completing related documentation; and
 - gathering information from other sources such as family members, medical providers, social workers, and educators (if necessary), to form a complete assessment of the eligible individual;

A comprehensive assessment is covered at least once every 365 days. Comprehensive reassessments are covered if there is a significant change in the recipient's circumstances. Periodic reassessments are covered as an ongoing activity.
- ❖ Development (and periodic revision) of a specific care plan that is based on the information collected through the assessment that

State Plan under Title XIX of the Social Security Act
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TARGETED CASE MANAGEMENT SERVICES

Target Group P

- specifies the goals and actions to address the medical, social, educational, and other services needed by the individual;
- includes activities such as ensuring the active participation of the eligible individual, and working with the individual (or the individual's authorized health care decision maker) and others to develop those goals; and
- identifies a course of action to respond to the assessed needs of the eligible individual;

At a minimum, care plans must be reviewed and updated every 60 days during the first year of the child's life. The care plan should be reviewed at least every 180 days thereafter.

- ❖ Referral and related activities (such as scheduling appointments for the individual) to help the eligible individual obtain needed services including
 - activities that help link the individual with medical, social, educational providers, or other programs and services that are capable of providing needed services to address identified needs and achieve goals specified in the care plan; and
- ❖ Monitoring and follow-up activities:
 - activities and contacts that are necessary to ensure the care plan is implemented and adequately addresses the eligible individual's needs, and which may be with the individual, family members, service providers, or other entities or individuals and conducted as frequently as necessary, and including at least one annual monitoring, to determine whether the following conditions are met:
 - services are being furnished in accordance with the individual's care plan;
 - services in the care plan are adequate; and
 - changes in the needs or status of the individual are reflected in the care plan. Monitoring and follow-up activities include making necessary adjustments in the care plan and service arrangements with providers.

Covered activities also include periodic reassessments and time spent on recordkeeping. Recordkeeping includes: updating the care plan, documenting recipient and collateral contacts, preparing and responding to correspondence to and for the recipient or collateral contact, documenting the recipient's activities in relation to the care plan.

Monitoring contacts may be face-to-face, by telephone, or in writing. Frequency of contacts are jointly determined by the recipient and the case manager, however the minimum requirements are:

- **A face-to-face or telephone contact every 30 days, if the child is aged 6 months or less;**
- **A face-to-face contact with recipient every 60 days, if the child is aged 12 months or less;**

State Plan under Title XIX of the Social Security Act
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TARGETED CASE MANAGEMENT SERVICES

Target Group P

- **A face-to-face or telephone contact with the recipient every 90 days after the first year of the child's life**

The case manager must document the reason for less frequent contacts.

X Case management includes contacts with non-eligible individuals that are directly related to identifying the eligible individual's needs and care, for the purposes of helping the eligible individual access services; identifying needs and supports to assist the eligible individual in obtaining services; providing case managers with useful feedback, and alerting case managers to changes in the eligible individual's needs.
(42 CFR 440.169(e))

Qualifications of providers (42 CFR 441.18(a)(8)(v) and 42 CFR 441.18(b)):

Agencies must have at least one qualified professional with at least 2 years experience in coordinating services for at-risk and low-income pregnant women. The experience should be in a health care or family services setting. Qualified professionals include registered nurses, certified nurse midwives, registered dietitians, social workers, health educators, physicians and physician assistants. Trained paraprofessionals may provide services under the general supervision of a qualified professional. The qualified professional must review and signoff on assessments and care plans developed by paraprofessionals.

Providers must demonstrate that they are knowledgeable about the local health and social services delivery system. They must indicate that they have referral and / or working relationships with key health care and other service providers (e.g., WIC, transportation, child care)

Freedom of choice (42 CFR 441.18(a)(1)):

The State assures that the provision of case management services will not restrict an individual's free choice of providers in violation of section 1902(a)(23) of the Act.

1. Eligible individuals will have free choice of any qualified Medicaid provider within the specified geographic area identified in this plan.
2. Eligible individuals will have free choice of any qualified Medicaid providers of other medical care under the plan.

State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin

TARGETED CASE MANAGEMENT SERVICES
Target Group P

Freedom of Choice Exception (§1915(g)(1) and 42 CFR 441.18(b)):

_____ Target group consists of eligible individuals with developmental disabilities or with chronic mental illness. Providers are limited to qualified Medicaid providers of case management services capable of ensuring that individuals with developmental disabilities or with chronic mental illness receive needed services: **[Identify any limitations to be imposed on the providers and specify how these limitations enable providers to ensure that individuals within the target groups receive needed services.]**

Access to Services (42 CFR 441.18(a)(2), 42 CFR 441.18(a)(3), 42 CFR 441.18(a)(6)):

The State assures the following:

- Case management (including targeted case management) services will not be used to restrict an individual's access to other services under the plan.
- Individuals will not be compelled to receive case management services, condition receipt of case management (or targeted case management) services on the receipt of other Medicaid services, or condition receipt of other Medicaid services on receipt of case management (or targeted case management) services; and
- Providers of case management services do not exercise the agency's authority to authorize or deny the provision of other services under the plan.

Payment (42 CFR 441.18(a)(4)):

Payment for case management or targeted case management services under the plan does not duplicate payments made to public agencies or private entities under other program authorities for this same purpose.

Case Records (42 CFR 441.18(a)(7)):

Providers maintain case records that document for all individuals receiving case management as follows:

- (i) The name of the individual;
- (ii) The dates of the case management services;
- (iii) The name of the provider agency (if relevant) and the person providing the case management service;
- (iv) The nature, content, units of the case management services received and whether goals specified in the care plan have been achieved;
- (v) Whether the individual has declined services in the care plan;
- (vi) The need for, and occurrences of, coordination with other case managers;
- (vii) A timeline for obtaining needed services;
- (viii) A timeline for reevaluation of the plan.

Limitations:

Case management does not include, and Federal Financial Participation (FFP) is not available in expenditures for, services defined in §441.169 when the case management activities are an integral and inseparable component of another covered Medicaid service (State Medicaid Manual (SMM) 4302.F).

State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin

TARGETED CASE MANAGEMENT SERVICES
Target Group P

Case management does not include, and Federal Financial Participation (FFP) is not available in expenditures for, services defined in §441.169 when the case management activities constitute the direct delivery of underlying medical, educational, social, or other services to which an eligible individual has been referred, including for foster care programs, services such as, but not limited to, the following: research gathering and completion of documentation required by the foster care program; assessing adoption placements; recruiting or interviewing potential foster care parents; serving legal papers; home investigations; providing transportation; administering foster care subsidies; making placement arrangements. (42 CFR 441.18(c))

FFP only is available for case management services or targeted case management services if there are no other third parties liable to pay for such services, including as reimbursement under a medical, social, educational, or other program except for case management that is included in an individualized education program or individualized family service plan consistent with §1903(c) of the Act. (§§1902(a)(25) and 1905(c))

Additional limitations

Case management is not available to any recipient:

- a. **Participating in a home and community-based [1915(c)] waiver program**
- b. **Residing in an MA-funded institution (e.g., hospital or nursing home), except for discharge-related case management services prior to discharge from an institutional setting.**
- c. **In excess of one comprehensive assessment or case plan per 365 days**
- d. **In excess of one claim for ongoing monitoring per month**
- e. **Enrolled in an MA-certified community support program**

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. Target Group Q:

Women aged 45 to 64 who are not covered under other case management categories. These women are middle aged and not yet defined as elderly. For example, they may be grandmothers or middle aged mothers raising children on Medicaid.

B. Areas of State in which services will be provided:

☐ Entire State.

☒ Only in the following geographic areas (authority of section 1915(g)(1) of the Act is invoked to provide services less than Statewide:

The benefit is available statewide, but provider participation will be voluntary, or as established by the State Legislature. It is assumed that initial participation of providers will see a majority of counties covered, and most target populations selected. The State will require the county board of supervisors in any county in which the benefit is provided, to elect to have this benefit offered. This will ensure coordination and enhance case management.

C. Comparability of Services:

☐ Services are provided in accordance with section 1902(a)(10)(B) of the Act.

☒ Services are not comparable in amount, duration, and scope. Authority of section 1915(g)(1) of the Act is invoked to provide services without regard to the requirements of section 1902(a)(10)(B) of the Act.

D. Definition of Services:

See narrative D. in the section for Target Group C, or as established by the State Legislature. This case management benefit will focus on facilitating early and ongoing screenings for breast cancer, cervical cancer, osteoporosis, diabetes and high blood pressure.

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STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

E. Qualification of Providers:

See narrative E. in the section for Target Group C and the narrative that follows:

Providers of case management services to women aged 45 to 64 must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available, or as established by the State Legislature.

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Substitute Page -

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State/Territory: Wisconsin

CASE MANAGEMENT SERVICES

A. TARGET GROUP

Targeted Group: This target group consists of women aged 45 to 64 who are not residing in nursing homes and are not otherwise receiving case management services. The benefit will focus on women who are unaware of the importance of preventive services and the resources to receive those services.

D. DEFINITION OF SERVICES

See narrative D. in the section for Target Group P. This case management benefit will focus on early and ongoing screenings for breast cancer, cervical cancer, osteoporosis, diabetes and high blood pressure.

E. QUALIFICATIONS OF PROVIDERS

Providers of case management services to women aged 45 to 64 must be knowledgeable concerning the local service delivery system, the needs and dysfunctions of this recipient group, and the need for integrated services and the resources available.

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State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin

TARGETED CASE MANAGEMENT SERVICES

Target Group R

Target Group (42 Code of Federal Regulations 441.18(8)(i) and 441.18(9)):

Children with medical complexity (CMC). Target group includes children enrolled in the Medicaid program who meet enrollment criteria as established by the Department as having medical complexity and high resource utilization. Individuals up to age 26 who continue to meet enrollment criteria remain in the target group. Children with medical complexity enrolled in this program are defined as having chronic medical conditions with three or more organ systems AND require three or more medical or surgical specialists AND have one or more hospital admissions totaling five or more days OR ten or more clinic visits measured during the preceding year from the date of the referral to the program. Children who are recent NICU/PICU graduates have the same eligibility criteria as above, except that their tertiary center use is anticipated by clinicians to continue to be high as they may not be old enough to have met the requisite 10 clinic visits.

☒ Target group includes individuals transitioning to a community setting. Case-management services will be made available for up to 180 consecutive days of a covered stay in a medical institution. The target group does not include individuals between ages 22 and 64 who are served in Institutions for Mental Disease or individuals who are inmates of public institutions). (State Medicaid Directors Letter (SMDL), July 25, 2000)

Areas of State in which services will be provided (§1915(g)(1) of the Act):

☒ Entire State

☐ Only in the following geographic areas:

Comparability of services (§§1902(a)(10)(B) and 1915(g)(1))

☐ Services are provided in accordance with §1902(a)(10)(B) of the Act.

☒ Services are not comparable in amount duration and scope (§1915(g)(1)).

Definition of services (42 CFR 440.169): Targeted case management services are defined as services furnished to assist individuals, eligible under the State Plan, in gaining access to needed medical, social, educational and other services. Targeted Case Management includes the following assistance:

State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin

TARGETED CASE MANAGEMENT SERVICES

Target Group R

- ❖ Comprehensive assessment and periodic reassessment of individual needs, to determine the need for any medical, educational, social or other services. These assessment activities include
 - taking client history;
 - identifying the individual's needs and completing related documentation; and
 - gathering information from other sources such as family members, medical providers, social workers, and educators (if necessary), to form a complete assessment of the eligible individual;

Comprehensive assessments are covered no more than once every three (3) years from the date of the individual's enrollment in the program unless approved by the Department. Periodic reassessments are covered as ongoing monitoring and follow-up activities.
- ❖ Development (and periodic revision) of a specific care plan that is based on the information collected through the assessment that
 - specifies the goals and actions to address the medical, social, educational, and other services needed by the individual;
 - includes activities such as ensuring the active participation of the eligible individual, and working with the individual (or the individual's authorized health care decision maker) and others to develop those goals; and
 - identifies a course of action to respond to the assessed needs of the eligible individual;

At a minimum, care plans must be reviewed and updated every 6 months or as the individual's needs change.
- ❖ Referral and related activities (such as scheduling appointments for the individual) to help the eligible individual obtain needed services including
 - activities that help link the individual with medical, social, educational providers, or other programs and services that are capable of providing needed services to address identified needs and achieve goals specified in the care plan; and

State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin

TARGETED CASE MANAGEMENT SERVICES
Target Group R

- ❖ Monitoring and follow-up activities:
 - activities and contacts that are necessary to ensure the care plan is implemented and adequately addresses the eligible individual's needs, and which may be with the individual, family members, service providers, or other entities or individuals and conducted as frequently as necessary, and including at least one annual monitoring, to determine whether the following conditions are met:
 - services are being furnished in accordance with the individual's care plan;
 - services in the care plan are adequate; and
 - changes in the needs or status of the individual are reflected in the care plan. Monitoring and follow-up activities include making necessary adjustments in the care plan and service arrangements with providers.

Referral, monitoring and follow-up activities are covered as frequently as necessary to ensure that services in the individual's care plan are adequate and goals identified in the care plan are met. Such activities may be face-to-face, by telephone, or in writing.

X Case management includes contacts with non-eligible individuals that are directly related to identifying the eligible individual's needs and care, for the purposes of helping the eligible individual access services; identifying needs and supports to assist the eligible individual in obtaining services; providing case managers with useful feedback, and alerting case managers to changes in the eligible individual's needs.
(42 CFR 440.169(e))

Qualifications of providers (42 CFR 441.18(a)(8)(v) and 42 CFR 441.18(b)):

The qualified staff providing case management services on behalf of the program include: nurse practitioners, registered nurses, para professionals, social workers, and physicians. Staff must be knowledgeable about the care and needs of children with high-resource utilization and medical complexity, and local health care and social services delivery systems.

Providers must be certified as a children's hospital with pediatric medical and surgical specialty areas able to support full integration of psychosocial and clinical care. Providers must possess sufficient documentation that demonstrates that staff has adequate knowledge and experience to provide comprehensive and specialized case management services to children with complex medical and psychosocial needs. Providers must have referral and / or effective working relationships with key health care and other service providers that are essential to the individual's care (e.g., primary care team, private duty nurses, sub-specialists, and community and social organizations).

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TARGETED CASE MANAGEMENT SERVICES
Target Group R

Freedom of choice (42 CFR 441.18(a)(1):

The State assures that the provision of case management services will not restrict an individual's free choice of providers in violation of section 1902(a)(23) of the Act.

1. Eligible individuals will have free choice of any qualified Medicaid provider within the specified geographic area identified in this plan.
2. Eligible individuals will have free choice of any qualified Medicaid providers of other medical care under the plan.

Freedom of Choice Exception (§1915(g)(1) and 42 CFR 441.18(b)):

_____ Target group consists of eligible individuals with developmental disabilities or with chronic mental illness. Providers are limited to qualified Medicaid providers of case management services capable of ensuring that individuals with developmental disabilities or with chronic mental illness receive needed services: **[Identify any limitations to be imposed on the providers and specify how these limitations enable providers to ensure that individuals within the target groups receive needed services.]**

Access to Services (42 CFR 441.18(a)(2), 42 CFR 441.18(a)(3), 42 CFR 441.18(a)(6):

The State assures the following:

- Case management (including targeted case management) services will not be used to restrict an individual's access to other services under the plan.
- Individuals will not be compelled to receive case management services, condition receipt of case management (or targeted case management) services on the receipt of other Medicaid services, or condition receipt of other Medicaid services on receipt of case management (or targeted case management) services; and
- Providers of case management services do not exercise the agency's authority to authorize or deny the provision of other services under the plan.

Payment (42 CFR 441.18(a)(4)):

Payment for case management or targeted case management services under the plan does not duplicate payments made to public agencies or private entities under other program authorities for this same purpose.

**State Plan under Title XIX of the Social Security Act
State/Territory: Wisconsin**

**TARGETED CASE MANAGEMENT SERVICES
Target Group R**

Case Records (42 CFR 441.18(a)(7)):

Providers maintain case records that document for all individuals receiving case management as follows:

- (i) The name of the individual;
- (ii) The dates of the case management services;
- (iii) The name of the provider agency (if relevant) and the person providing the case management service;
- (iv) The nature, content, units of the case management services received and whether goals specified in the care plan have been achieved;
- (v) Whether the individual has declined services in the care plan;
- (vi) The need for, and occurrences of, coordination with other case managers;
- (vii) A timeline for obtaining needed services;
- (viii) A timeline for reevaluation of the plan.

Limitations:

Case management does not include, and Federal Financial Participation (FFP) is not available in expenditures for, services defined in §441.169 when the case management activities are an integral and inseparable component of another covered Medicaid service (State Medicaid Manual (SMM) 4302.F).

Case management does not include, and Federal Financial Participation (FFP) is not available in expenditures for, services defined in §441.169 when the case management activities constitute the direct delivery of underlying medical, educational, social, or other services to which an eligible individual has been referred, including for foster care programs, services such as, but not limited to, the following: research gathering and completion of documentation required by the foster care program; assessing adoption placements; recruiting or interviewing potential foster care parents; serving legal papers; home investigations; providing transportation; administering foster care subsidies; making placement arrangements. (42 CFR 441.18(c))

FFP only is available for case management services or targeted case management services if there are no other third parties liable to pay for such services, including as reimbursement under a medical, social, educational, or other program except for case management that is included in an individualized education program or individualized family service plan consistent with §1903(c) of the Act. (§§1902(a)(25) and 1905(c))