

Pennsylvania Home And Community Based Services (HCBS) Waiver Settings Transition Plan

<b>Section 1: Identification</b> - Pennsylvania will use its statewide transition plan as a way to determine its compliance with CMS's rule on HCBS. Pennsylvania will determine the current level of what state actions are needed for compliance. This will include a review of current licensing requirements, policies, regulations, rules, standards and statutes.					
<b>#</b>	<b>Action Item</b>	<b>Description</b>	<b>Start Date</b>	<b>Target End</b>	<b>Deliverable</b>
1	Submit Waiver Amendments	Submit appropriate individual HCBS waiver amendments/revisions as necessary based upon Final Rule	June-14	Mar-15	Waiver Amendments
2	Obtain Providers By Setting	Utilize various methods to develop comprehensive provider listing by setting, with address and contact information to evaluate locations of HCBS providers	Sept-14	Jan-15	Provider list by setting
3	Standard Review	Review current standards, regulations, policies, and requirements to determine level of compliance with HCBS Final Rule	Sept-14	Mar-15	Report of policies, provider standards, and waiver service definitions that need to be revised/updated in order to comply with the HCBS Final Rule
4	Identify Key Stakeholders	Identify stakeholders (internal & external) impacted through changes highlighted in the Final Rule	June-14	Mar-19	List of key stakeholders

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<p><b>Section 2: Assessment</b> - Pennsylvania's assessment activities will include a review of policy documents and provider enrollment documents, a review of licensing requirements, development and implementation of a provider self-assessment and enhancement or development of a participant monitoring tool. Data from these activities will be assessed and provider settings will be placed into three categories: (1) Setting is fully compliant, (2) Setting is presumed non-compliant but evidence may be presented for heightened scrutiny review, and (3) Setting does not comply. These categories will inform the order in which Pennsylvania will contact providers, starting with settings that do not comply and ending with settings that the assessments indicate are fully compliant. These activities will give Pennsylvania a provider and participant perspective on settings, which will be followed by official DHS monitoring to validate compliance status, which will include on-site monitoring as needed to ensure compliance.</p>					
#	Action Item	Description	Start Date	Target End	Deliverable
<b>Internal Assessment (Regulations, Policies, Procedures)</b>					
1	Evaluate Licensed & Unlicensed Settings	Work within the Department of Human Services to identify settings and analyze licensing information by each entity to determine compliance with the HCBS rule (as applicable)	Sept-14	June-15	Updated compliance analysis
2	Review Of Policy Documents, Waiver Service Definitions, & Provider Enrollment Requirements	Identify Pennsylvania regulations, waiver service definitions, policies and provider standards to identify changes needed to comply with HCBS rules. This will include review of enrollment requirements and processes, licensure regulations, programmatic regulations and other policy documents	Sept-14	June-15	List of policies, regulations, and waiver service definitions that need to be revised/updated to comply with HCBS Final Rule
3	Review Of Licensing Requirements	Collaborate internally and with other departments as needed to identify any necessary changes to licensing requirements in order to comply with the HCBS rule	Sept-14	June-15	List of licensing changes relating to HCBS and identified need for change
4	Evaluate Applicable Information Technology (IT) Changes & Develop Tools As Necessary	Evaluate and, if necessary, enhance electronic/ IT capabilities and tools to collect, analyze, and audit provider information as necessary	Nov-14	Mar-19	Enhanced electronic/IT capabilities and tools to support provider assessment and analysis
<b>Provider Assessment</b>					
5	Develop, Test, & Refine Provider Assessment Tools	Develop tools to assist Pennsylvania in identifying settings and assessing compliance toward HCBS Final Rule, including provider self-assessment and departmental compliance	Nov-14	Mar-15	Provider Self-Assessment Tool
6	Complete/Collect Provider Information	Collect data by individual provider relating to compliance criteria and individual provider's initial measure against CMS requirements	Mar-15	Apr-15	Completed provider self-assessments

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7	Analyze Data And Determine Need for On-Site Assessment	Compile and analyze data from Provider Self-Assessment allowing for prioritization and scheduling of provider contact and on-site compliance monitoring visits based on provider category. Estimation of level of effort for provider conformance to HCBS characteristics and ability to maintain compliance	Apr-15	June-15	Categorization of compliance and schedule of on-site visits
8	Contact Providers	Based on analysis of assessment & monitoring tools, along with departmental criteria for scheduling, contact providers, which may include conducting on-site visits to locations seeming to not be in compliance of Final Rule	Apr-15	Oct-15	On-site visits
9	Identify Access Issues	Analyze whether access issues may be created by providers who submitted a transition plan (i.e. will no longer be eligible/willing to provide waiver services)	Apr-15	Apr-18	Identified areas with access issues
10	Analyze & Report Results	Provide listings of provider status, publish public notice regarding qualified settings, and modify transition plans as needed based on completion of internal and provider assessments / site visits	Oct-15	Aug-18	Provider Setting Report
<b><u>Modification Of Provider Enrollment &amp; Monitoring Process</u></b>					
11	Quality Improvement Monitoring Tool	Utilize established quality improvement structure to conduct on-going provider compliance with HCBS Final Rule	Sept-14	Mar-19	Updated quality improvement monitoring tool
12	Determine Changes Needed To Integrate Assessment Findings	Evaluate current applications and provider enrollment processes to determine necessary changes to conform with HCBS Final Rule and update as needed	Feb-15	Nov-15	Updated applications and provider enrollment process
13	Monitoring Tool to Engage Participants	Analyze current tools and enhance participant monitoring to measure ongoing compliance with HCBS Final Rule. Ongoing process to assess participant's overall satisfaction with services and settings	May-15	Mar-19	Updated Participant Monitoring Tool

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<b>Section 3: Remediation Strategies</b> - Pennsylvania's overall strategy will rely heavily on its existing HCBS quality assurance processes to ensure provider compliance with the HCBS rule. This will include provider identification of remediation strategies for each identified issue, and ongoing review of remediation status and compliance. The Department of Human Services may also prescribe certain requirements to become compliant. Pennsylvania will also provide guidance and technical assistance to providers to assist in the assessment and remediation process. Providers that fail to remediate noncompliant settings in a timely manner may be subject to sanctions ranging from probation to disenrollment.					
<b>#</b>	<b>Action Item</b>	<b>Description</b>	<b>Start Date</b>	<b>Target End</b>	<b>Deliverable</b>
1	Documentation Changes	Revise/update Pennsylvania regulations, waiver service definitions, policies, and provider standards to assure compliance with HCBS Final Rule	Dec-14	Dec-17	Updated Policies, Regulations, & Waiver Service Definitions
2	Change Licensing Requirements	Collaborate with other state departments to revise policies and other licensing requirements in order to assure compliance with the HCBS Final Rule	Dec-14	Dec-17	Updated policies and any updated regulatory packages
3	Develop Participant Monitoring Process	Develop mechanism for reporting non-compliance by family members or participants, providing feedback or additional information, and disseminating information on individual provider status/transition; including helpline, informational packets, service coordination	Mar-15	Mar-17	Implement participant monitoring process
4	Develop Tracking Tool	Develop a tool to capture data and track on-going status regarding provider compliance	Mar-15	Mar-17	Provider Tracking Tool
5	Provider Monitoring	Utilize a quality improvement process, including potential site visits, to verify approved Corrective Action Plan (CAP)/Plan of Correction (POC) action steps are in place within acceptable timeframes, modify CAP/POC action steps as appropriate, and assess non-compliance of findings, updating monitoring/tracking tools and processes as necessary	Mar-15	Mar-17	Continuous monitoring
6	Provider Specific Remediation	Utilize quality improvement process and tools to develop CAP/POC for remediation of individual providers to ensure compliance with HCBS Final Rule, to include detailed activities, timeframes, and demonstration of abilities to meet qualifications and provide on-going compliance, including provider sanctions, disenrollment from waivers, and preclusion of reimbursement for ineligible providers after the transition completion date	Aug-15	Mar-19	CAP/POC for providers who are not in compliance

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7	Develop Provider Base	For those areas where access issues have been identified, develop a strategy to expand provider base	Oct-15	Oct-17	Strategy document for developing an enhanced provider base
8	Statement Of Findings	If found non-compliant under the HCBS Final Rule, issue Statement Of Findings to providers listing infractions and immediate need for the provider to develop a CAP/POC	Dec-15	Mar-19	Compilation of the Statement Of Findings to providers
9	Report Results	Publish list of findings regarding providers requiring a CAP/POC for HCBS compliance with any portion of the HCBS Final Rule	Dec-15	Mar-19	Report of providers with CAP/POC
10	Result Notification	Notify participants of all findings and compliance actions being taken	Dec-15	Mar-19	Notification letter to participants
11	Transition Participants To Compliant Settings	If applicable, utilize Service Coordinators/Supports Coordinators to work with participants/providers on facilitating a safe transition to the participants choice of another qualified waiver provider, also ensuring the participant is aware of appeal rights and processes	Dec-15	Mar-19	Waiver participants located in HCBS Final Rule compliant settings
12	On-Going Compliance	Develop tools/systems within established quality improvement structure for participant and provider monitoring on a regular basis to provide a vehicle for measured feedback on and to ensure consistent compliance with HCBS Final Rule	Apr-15	Mar-19	Tools and systems for participant and provider and participant monitoring, stakeholder feedback, and Department policies & procedures to ensure on-going compliance with HCBS Final Rule

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<b>Section 4: Outreach &amp; Engagement</b> – Pennsylvania proposes to collect public comments on the transition plan through a dedicated email address for submission of written comments and through taking public comments via other forms of stakeholder involvement. In addition to posting the transition plan and related materials on the Department of Human Services website, large stakeholder groups may be contacted directly and all stakeholders will be provided with updated information on an ongoing basis through various forms of stakeholder communication					
<b>#</b>	<b>Action Item</b>	<b>Description</b>	<b>Start Date</b>	<b>Target End</b>	<b>Deliverable</b>
1	Stakeholder Input Sessions	Individual and group sessions with various stakeholder groups to discuss information on Final Rule and suggestions for inclusion in transition planning and waiver amendments	July-14	Mar-15	Documented outcomes based on stakeholder participation
2	Develop Communication Materials	Create transition plan website, links to individual waivers, public comment mailbox, information handouts, and public communication brief	July-14	Mar-15	CMS Final Rule and Statewide Transition Plan Communication Materials
3	Public Notice & Comment	Official notification through the PA Bulletin beginning the public comment period on waiver amendments/revisions and published draft transition plan including: submission, consolidation, documentation, and review of public comments	Aug-14	Mar-15	Official notification through the PA Bulletin, website creation, RA Account to receive comments
4	Stakeholder Communication & Meetings	Stakeholder meetings, webinars, and other public forms informing of setting requirements and statewide transition planning activities on the CMS Final Rule	Aug-14	Mar-15	Scheduled stakeholder meetings and information sessions
5	Transition Plan Revision	Incorporate stakeholder comment and feedback on Pennsylvania’s statewide transition plan, submit final plan to CMS, and publish approved plan	Sept-14	Mar-15	Statewide Transition Plan
6	Provider & Stakeholder Training	On-going engagement highlighting updates and revisions to Pennsylvania’s regulations, policies, and procedures; training on compliance to the HCBS Final rule, and transition activities for service coordinators, providers, and staff	Dec-14	Mar-19	Provider & Stakeholder Training Plan
7	Ongoing Stakeholder Engagement	Continued engagement with the stakeholder community on regulations and department updates, sustaining an inclusive, person –centric focus that is transparent to individuals and the community while providing accountability to all parties involved	Dec-14	Mar-19	Stakeholder Involvement Plan