

EXHIBIT C

All signed applications and other documentation, if any, gathered by the IEB under the process specified below must be submitted to the CAO no later than 40 calendar days from the Application Date. When a deadline under this process falls on a Saturday, on a Sunday or on a Pennsylvania legal holiday, then the deadline shall be the next business day.

A. SCOPE

- (1) For purposes of the Ongoing Process, “Applicant” means:
- An individual who signs or, on whose behalf the individual’s representative signs a PA 600L/WP; or
 - An MA recipient who expresses or whose representative expresses an intention to the IEB that the MA recipient be considered for participation in an OLTL Waiver

B. INITIAL CONTACT

- (1) When a potential consumer or consumer’s representative calls the IEB, the IEB will determine whether the caller is making an “inquiry” or a “request to apply” for services. If the call is a “request to apply,” the IEB proceeds to the step in subsection (2) below.
- (a) A contact is an inquiry if the individual is only requesting general information regarding OLTL Waivers or Waiver services or in-home services generally, but is not expressing any intention to be considered for participation in a Waiver. If any question exists as to whether a contact is an inquiry or a “request to apply,” the contact should be treated as a request to apply.
- (b) The IEB must keep a record of the name, address and telephone number of each person making an inquiry and the date of the inquiry.

- (2) If the call is a request to apply, the IEB will follow a “Script,” which is attached as Appendix A.
- (3) If, during the Initial Contact, the potential consumer decides not to proceed with the application process, the IEB will note that in its records and the case will be closed.
- (4) If the potential consumer says he/she wants to continue with the application process, the IEB will schedule an in-home Intake Visit, which **must** be conducted within seven (7) calendar days of the Initial Contact unless the potential consumer requests that the visit take place at a later date or there are other circumstances beyond the control of the IEB.
 - (a) If the Intake Visit does not occur within seven (7) calendar days of the Initial Contact, the IEB will note the reason for the delay in its records.
- (5) The IEB will check CIS prior to the Intake Visit to determine whether the potential consumer is an MA recipient.

C. INTAKE VISIT

- (1) The IEB will bring the following forms to all Intake Visits:
 - (a) Care Management Instrument (CMI)
 - (b) Freedom of Choice Form
 - (c) Service Provider Choice Form
 - (d) Authorization of Release of Information (PA4)
 - (e) Information about the Estate Recovery Program
 - (f) Citizenship Form
 - (g) Notice of Privacy Practices, includes Acknowledgement Form
 - (h) Waiver Participant's Rights and Responsibilities
 - (i) A flow chart entitled “PA Enrollment Broker (IEB) Application Process for Home and Community Based Service

- (j) Notice of Right to Timely Eligibility Determination
- (2) If a potential consumer is not an MA recipient, in addition to the forms specified in subsection (1) above, the IEB will bring the following forms to the intake visit:
 - (a) 0192 Waiver Application (for the AIDS Waiver)
 - (b) PA 600L or PA 600WP (12 Community Choice counties)
- (3) The IEB will complete the CMI.
 - (a) If the CMI indicates that the consumer may not be programmatically or clinically eligible, the IEB will explain that a person must meet certain eligibility requirements to get waiver services, but the consumer has the right to file an application and continue with the application process.
 - (b) If the consumer or his/her representative wants to continue the application process:
 - (i) If consumer is an MA recipient, the IEB will proceed to the step in Section D. below.
 - (ii) **If consumer is an MA recipient, the date of the Intake Visit is the Application date.**
 - (c) If the consumer is not an MA recipient, the IEB will explain to the consumer or his/her representative that in order to begin the application process, the consumer or his/her representative must sign a PA 600L/WP and that the consumer or representative will have to complete the form and submit supporting documentation.
 - (i) If the consumer signs the PA 600L/WP at the Intake Visit, the consumer is an “Applicant.”
 - (ii) If for some reason the consumer does not want to sign the PA 600L/WP form at the Intake Visit, the IEB will leave the form and explain to the consumer that the application process will not start until the form is signed and returned to the IEB.

(iii) The date the consumer returns a signed PA 600L/WP to the IEB is the Application Date. In most cases, the Application Date will be the date of the Intake Visit.

(4) The IEB will review the application process, including the need for a Physician Certification and a LOCA, and assist the consumer or his/her representative as necessary to complete the forms identified in (1) and (2) above.

D. POST-INTAKE VISIT PROCESS FOR APPLICANTS:

(1) An Applicant must receive an eligibility determination within 90 days of the Application Date.

(a) If consumer is an MA recipient, the Application Date is the date of the Intake Visit.

(b) If the consumer is not an MA recipient, the Application Date is the date on which the consumer returns a signed PA 600L/WP to the IEB. In most cases, the Application Date will be the date of the Intake Visit.

(2) For each Applicant, the IEB will:

(a) Within seven (7) calendar days of the Application Date, send a Physician Certification form (see OLTL Bulletin # 05-10-04, 51-10-04, 55-10-04, 59-10-04 (July 6, 2010)) to the Applicant's physician to be completed, unless the Applicant decides to get the form completed him/herself. The IEB will request the physician complete and send the form so that it is received by the IEB no later than ten (10) calendar days after the date the IEB sent the form to the physician.

(b) Within fifteen (15) calendar days of the Application Date, request the AAA to conduct and submit a LOCA to the IEB within fifteen (15) calendar days of the date of the request.

(i) The IEB will notify the AAA of the deadline which the IEB gave for submission of the Physician Certification.

- (ii) If the Physician Certification is received before the AAA submits the LOCA to the IEB, the IEB will forward the Physician Certification to the AAA.
 - (iii) If the Physician Certification is not received before the AAA conducts the assessment and completes the LOCA, then the AAA will complete the LOCA, but will note on the LOCA that the Physician Certification was not submitted and that the consumer is, therefore, NFI.
- (3) If LOCA is not completed and submitted to the IEB within fifteen (15) calendar days from the date on which the IEB requests the LOCA:
- (a) Starting on the fifteenth (15th) day, the IEB will send two reminders to the AAA with a copy to OLTL, with the second reminder sent five (5) calendar days after the first reminder.
 - (b) If the LOCA is not received by the IEB within five (5) calendar days of the second reminder, the IEB will refer the case to OLTL for follow-up.
- (4) For each Applicant that the IEB refers to OLTL because it has not received a LOCA, within ten (10) calendar days of the IEB referral, OLTL will contact the AAA to determine why the LOCA has not been completed.
- (a) If the AAA has been unable to complete the LOCA because the Applicant has refused to cooperate, or is no longer interested, OLTL will instruct the IEB to complete and submit a PA 1768 Form or an updated PA 1768 Form to the CAO verifying that the individual does not qualify for waiver services. In the comment section, the IEB will note whether the Applicant did not cooperate and, if so, the nature of the lack of cooperation or whether the Applicant is no longer interested in receiving OLTL waiver services.
 - (b) For all other Applicants, OLTL will set a deadline for completion of the LOCA, which will be no later than ten (10) calendar days after the contact with the AAA.

- (i) If the LOCA is not completed by the deadline, then OLTL will arrange for an assessment to be conducted and the LOCA completed by staff or designee of OLTL within five (5) calendar days. Subsection (6) will apply.
- (5) If the Physician Certification is not received by the deadline for completion of the LOCA, the assessor will conduct the assessment and complete the LOCA, but will note on the LOCA that the Physician Certification was not received and that the Applicant is therefore NFI.
- (6) If the IEB does not receive the physician cert within ten (10) calendar days from the date on which the IEB sent the Physician Certification form to the physician:
 - (a) Starting on the tenth (10th) day, the IEB will make a total of two (2) reminder calls to the physician, with the second call made five (5) calendar days after the first call, and at least one (1) call to the Applicant during that period, explaining that the application will be denied if the Physician Certification form is not received.
 - (b) If the IEB does not receive the Physician Certification form within seven (7) calendar days of the last reminder call, the IEB will send a written notice to the Applicant advising that, unless a Physician Certification is received within ten (10) calendar days of the notice, the Applicant may be determined ineligible for OLTL Waiver services.
- (7) For each Applicant for whom a LOCA has been completed by the AAA:
 - (a) If the Applicant is NFCE, within seven (7) calendar days of the date the LOCA is completed, the IEB will refer the Applicant to OLTL to determine whether the Applicant is Program Eligible for the OLTL Waiver identified by the IEB or another OLTL Waiver.
 - (i) Within seven (7) calendar days of receiving the referral, OLTL will notify the IEB whether the Applicant is Program Eligible for an OLTL Waiver.

- (ii) Within seven (7) calendar days of the date that OLTL determines whether the Applicant meets the Program eligibility criteria for an OLTL Waiver, the IEB will complete and submit a PA 1768 form to the CAO.
 - (b) If the Applicant is NFI because the LOCA was completed without a Physician Certification, within seven (7) calendar days of the date of the LOCA determination, the IEB will complete and submit a PA 1768 to the CAO, along with the signed PA 600L/WP and whatever supporting documentation has been provided to the IEB. The IEB will note in the comment section of the PA 1768 that the Applicant is NFI because the physician did not submit a Physician Certification. The IEB will also note whether the assessor's recommended level of care for the consumer is NFCE.
 - (i) If a Physician Certification is received by the IEB before the CAO issues a Notice of Eligibility/Ineligibility, and the physician recommends or orders nursing facility level of care, the IEB will complete and submit an updated PA 1768 Form noting that the Applicant is NFCE **provided that**, on the LOCA, the assessor's recommended level of care for the Applicant is NFCE.
 - (c) If the Applicant is NFI based upon the LOCA, within seven (7) calendar days of the date of the LOCA determination, the IEB will complete and submit a PA 1768 to the CAO, along with the signed PA 600L/WP and whatever supporting documentation has been provided to the IEB.
- (8) Whether or not the LOCA has been received, no later than forty (40) calendar days after the Application Date, the IEB must forward to the CAO the PA1768, the PA600WP/L, and all supporting documentation received by that date.
- (a) If the LOCA has not been received as of the date the IEB forwards the application package to the CAO, the IEB will leave the ELIGIBILITY/PROGRAM ASSESSMENT INFORMATION section of the PA 1768 blank and note in the comment section that the LOCA is pending.

- (b) Once the LOCA is received, the IEB will send an updated PA 1768 Form to the CAO in accordance with section D.6.(c).
- (9) For each Applicant for whom the CAO receives an application package from the IEB, the CAO will:
 - (a) If the application includes all needed supporting documentation upon receipt, make a financial eligibility determination and Issue a Notice of Eligibility/Ineligibility no later than forty-five (45) calendar days from the date the CAO receives the application package; or
 - (b) If the application is missing needed supporting documentation, request that the Applicant provide additional supporting information within ten (10) calendar days and issue a Notice of Eligibility/Ineligibility no later than forty-five (45) calendar days from the date the CAO receives the application package.
 - (c) If the individual was marked NFI because the physician did not submit a Physician Certification, but the assessor's recommended level of care for the consumer is otherwise NFCE (see subsection D.(7)(b), above), the CAO will not issue the Notice of Ineligibility/Eligibility prior to receipt of the Physician Certification or prior to forty-five (45) days of receipt of the application package, whichever occurs first.

E. POST INTAKE PROCESS FOR NON APPLICANTS:

- (1) If the individual, who is not an MA recipient, does not sign the PA 600L/WP at the Intake Visit, the individual is not considered an "Applicant."
- (2) For each such individual, the IEB will:
 - (a) Within thirty (30) calendar days of the Intake Visit, contact the individual by written correspondence that includes a PA 600L/WP asking if he/she is still seeking OLTL Waiver services and offering to assist the individual to complete the form;

- (b) If the individual requests assistance, the IEB will schedule an Intake Visit, which must occur within seven (7) calendar days of the individual's request.
- (c) If the Applicant submits a signed PA 600L/WP in response to the IEB's inquiry, the steps in Section D. (1) through (9) will apply.
- (d) If the IEB does not receive a signed PA 600L/WP form within thirty (30) days, the IEB will notify the individual that no further action can be taken because the form has not been signed and that his/her case is closed but can be reopened when the signed form is received.