

**Commonwealth of Pennsylvania  
Department of Human Services  
Office of Developmental Programs**

**Individual Support Plan (ISP) Manual for  
Individuals Receiving Targeted Support  
Management, Base-Funded Services,  
Consolidated, Community Living or P/FDS  
Waiver Services or Who Reside in an ICF/ID**

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## Section 1: ISP Process

The ISP process, led by the Supports Coordinator (SC), is the most critical activity to help people envision a good life and to develop strategies to achieve the life they want. It is a process to help people explore the experiences, opportunities and resources available to them through family, friends and the community, and it is also the process to identify what services can enhance those resources and opportunities.

The SC should assist the individual and family to understand and participate in the ISP process. This includes thinking about relationships that are important to the person; activities that are enjoyable and important to the person; what kinds of growth experiences the person would like to explore; what kind of job they'd like; whether there are any health or safety risks that must be planned for; what the immediate needs are as well as the needs they anticipate for the future, and what types of services would assist the person and family in achieving the quality of life they hope to have.

To achieve an ISP that is relevant and leads to the life people want to live, the process should be conducted in plain language and in a manner that is accessible to the individual and family. It is important to be sensitive to the lived experience of the individual and family including cultural considerations. If an alternate means of communication is used or if their primary language is not English, the ISP process should utilize the individual's primary means of communication or a person who can interpret on their behalf.

To aid understanding of the ISP process, the SC can provide the annotated ISP, which provides a reference for the individual regarding each section of the ISP, as well as resources available through Support Coordination Organizations (SCOs), Administrative Entities (AEs), the Department of Human Services (DHS) website and the Home and Community Services Information System (HCSIS) that describe the service planning and delivery process, available services and providers, and rights and safeguards.

Philosophies and concepts including "what is important to people?" in *Everyday Lives: Values in Action*, person-centered approaches, the principles of Positive Approaches, and the LifeCourse tools are the foundation for completing a plan with the individual and family.

"What is important to people with disabilities" in *Everyday Lives: Values in Action* are the person having personal control and choice in their lives and the same freedom as all citizens; stability; health and safety; being a full participating member of their community; responsibility; being listened to, understood and having their input valued; the experience of success, employment and making a meaningful contribution; respect for their individuality; maintaining relationships and partnership; quality in services; and advocacy.

Person Centered Planning discovers and organizes information that focuses on an individual's strengths, choices, and preferences. It involves bringing together people the individual would like to have involved in the planning process, listening to the individual, describing the individual as fully as possible with a true focus on understanding who he or she is, and dreaming and imagining with the individual of possible ways things could be different, both today and tomorrow.

Positive Approaches, like person-centered principles, recognizes the preferences of the individual and the importance of personal empowerment, and when there are issues of

problematic behavior, makes efforts to learn the root cause of the behavior. The root cause can be intrusions on the person's autonomy and personal control, events or activities that cause stress or anxiety, or the presence of trauma or a mental health diagnosis. Trauma informed care is consistent with the principles of Positive Approaches.

The goal of LifeCourse Principles is to assist families in understanding their family member in terms of the life stage they are in. This leads to a better understanding of the person's dreams and preferences, the kinds of life experiences that are appropriate, how to identify the opportunities and resources available in the person's everyday life, and what services and supports would help the person live the life they want and one which includes all facets of community life.

To assist in the planning process, the SC is responsible for ensuring that the individual and family have all the necessary information and support to make certain that he or she directs the process to the maximum extent possible. Introducing the LifeCourse principles and tools can help the individual and family prepare for the ISP. The SC is encouraged to utilize the LifeCourse framework and tools to assist individuals and families maximize their aspirations for an Everyday Life.

## Section 2: ISP Preparation

In preparation for the ISP meeting, the SC encourages meaningful participation of the individual. In addition to providing the necessary supports and accommodations to ensure that the individual can participate, the SC supports the individual in determining who should be present and involved in the development of the ISP. It is important to include people who know the individual best and who will offer detailed information about the individual and his or her preferences, strengths, and needs.

The ISP team may consist of:

- The individual.
- The individual's family, legal guardian, surrogate or advocate.
- The SC.
- Providers of service, specifically direct care staff.
- The common law employer or managing employer if the individual has chosen to self-direct.
- People who are important in the individual's life and who the individual chooses to include.

The SC is responsible for reaching out to the individual to determine if he or she has preferences about the date and location of the ISP meeting. The SC should make at least three attempts to contact the individual to discuss this information. After the discussion takes place, the SC is responsible for accommodating the individual's preferences to the extent possible. Some things the SC should discuss with the individual regarding the meeting location include:

- It should be a place where the individual feels comfortable.
- It should be accessible to all ISP team members.
- It should have enough space to accommodate all ISP team members.
- It should be as free from distractions as possible so the ISP team members can focus on what everyone has to say during this very important meeting.

If by the third attempt, the individual refuses or has not provided input on their preference in scheduling the meeting, the SC should proceed in scheduling the meeting in accordance with the timelines set forth in Section 3.11 of this manual.

### Section 2.1: ISP Invitation Letter

Once the ISP meeting details are confirmed, the SC develops the ISP meeting invitation letter and sends it to the individual, his or her family, team members and other people of the individual's choice who may contribute valuable information during the planning process. The invitation must be sent to all ISP team members at least 30 calendar days prior to the annual ISP meeting.

Please note, the SC can develop an ISP invitation letter that identifies all team members who are invited to participate in the ISP meeting or send a separate invitation letter for each invited team member.

 SC documentation requirements for ISP invitation letters:

- An electronic record or copy of the invitation letter(s) that was sent to each ISP team member must be maintained in the individual's file at the SCO.

## **Section 2.2: Information Gathering**

Preparing for the ISP meeting involves information gathering that should begin at least 90 calendar days prior to the end date of the plan.

Information gathering for the ISP should include physical development, communication abilities and needs, learning styles, strengths and functional abilities, educational background, employment, social/emotional information, medical and clinic needs, personality traits, environmental influences, community participation, interactions, preferences, outcomes, relationships that impact the participant's quality of life, and an evaluation of risk in all areas of life.

## **Section 2.3: Supports Intensity Scale-Adult™ and PA Supplement Assessment Process**

ODP utilizes a multifaceted assessment process to drive initial and ongoing ISP development in order to gain and capture person-centered information to determine the individual's needs and risk factors. ODP recognizes that there are many assessment instruments, both formal and informal, that are being utilized statewide. Both types are considered to be valuable tools.

The Supports Intensity Scale-Adult™ (SIS-A™) and PA Supplement are the primary statewide standardized needs assessments tools used by ODP. The SIS-A™ and PA Supplement are administered by an independent contractor, and the results are available to team members in the form of the SIS Family Friendly Report located in SISOnline.

The SC is responsible for distributing the SIS Family Friendly Report to the individual, people who participated in the completion of the SIS-A™ and PA Supplement assessment, and ISP team members.

The SIS-A™ is designed to be used for individuals ages 16 through 72. However, ODP, with permission from American Association of Intellectual and Developmental Disabilities (AAIDD), selected to use the tool for individuals as young as age 14 and older than 72 years of age.

In order to receive services and to ensure that services provided can meet the needs of an individual to ensure health and welfare, individuals 14 years of age and older must have a standardized needs assessment prior to enrollment in the waiver. SIS-A™ and the PA Supplement are to be completed once every five years. A new needs assessment is required if a major change in the individual's life occurs that has a lasting impact on his or her support needs that is anticipated to last more than six months and makes his or her assessment inaccurate and no longer current.

 SC documentation requirements for SIS assessments:

- SCs must document the date the SIS-A™ and PA Supplement were administered in the Non-Medical Evaluation section of the ISP.
- SCs must use the ISP Signature Page Form to indicate whether the SIS-A™ and PA Supplement were reviewed during the individual's ISP meeting.
- Assessment results should be summarized within the ISP. Although some of this information may already be known, there may be new items of interest that can be useful in the ISP planning process.

Though not an exhaustive list, information from the following SIS-A™ and PA Supplement domains could be used in the following sections of the ISP:

- Home Living
  - Individual Preferences
  - Functional Information
  - Health and Safety
- Community Living
  - Individual Preferences
  - Health and Safety
- Lifelong Learning
  - Individual Preferences
  - Functional Information
- Employment
  - Individual Preferences
  - Functional Information
  - Health and Safety
- Health and Safety
  - Health and Safety
  - Individual Preferences
  - Medical Information
  - Functional Information
- Social Activity
  - Individual Preferences
  - Functional Information
  - Health and Safety
- Protection and Advocacy
  - Individual Preferences
  - Functional Information
- Medical Supports
  - Medical Information
  - Health and Safety
  - Functional Information
  - Behavioral Supports
  - Health and Safety

## Section 2.4: Other Formal and Informal Assessments

An assessment of need is required for individuals for whom the SIS is not designed and utilized. For these individuals, other information should be considered such as possible changes in an individual's living situation or health status, any incidents reported, and possible monitoring findings. Part of the assessment process also reflects input from an individual's network of family and friends.

Other formal assessment tools for population groups for whom the SIS-A™ and PA Supplement are not designed and utilized include but are not limited to: the Vineland Adaptive Behavior Scale (ABS), Alpern-Boll Developmental Profile (LPRN BOAL), therapy and medical evaluations, Office of Vocational Rehabilitation (OVR) assessments, and Individual Educational Plans (IEPs).

Informal assessments include but are not limited to: a provider's annual assessment, other school-aged assessments, family and friends' observations, observations by direct care professionals, and understanding of the individual and his or her needs.

Assessment information about items where consensus could not be reached can also be brought to the planning meeting as key items for discussion and follow-up.

Assessments also describe potential risks for the individual. Through the ISP development process, the team develops strategies to identify, reduce, and address identified risks. The strategies identified to both mitigate and deal with risks reflect the underlying person-centered principles of the process and are structured in a manner that reflects and supports individual preferences and goals. Each ISP contains detailed information on supports and strategies designed to mitigate risk to the individual, including a back-up plan specific to the individual. The provider develops a back-up plan that outlines how the provider will provide the authorized service(s). The back-up plan must then be shared with the SC, the individual and the team. These back-up plans are developed with the unique needs and risk factors of the individual in mind and are incorporated into the ISP by the SC to ensure that the entire team is aware of the strategies necessary to reduce and, when needed, address risks. For more information please go to Section 3.9 regarding Provider Back-up Plans.

### SC documentation requirements for other assessments:

- This information should be listed in the relevant assessments linked to outcomes and described in the appropriate section(s) of the ISP.

**Section 2.5: Communication Assessment Reports (CAR) and Communication Reassessment Reports (CRR) for Individuals who are Deaf and enrolled in the Consolidated Waiver**

ODP ensures that all individuals who are deaf and enrolled in the Consolidated Waiver have a Communication Assessment and if recommended, a Reassessment in accordance with the Harry M Settlement. The Assessment will evaluate expressive and receptive communication skills including:

- Ability to sign, speak, read, write, speech read, use technology, and gesture;
- Ability to learn the above;
- Current preferred method of communication; and
- Most promising method to learn.

The Assessment will also include recommendations concerning:

- Staff skills (level of American Sign Language fluency, visual/gestural training or other) needed for effective communication now;
- Staff skills needed to improve the individual's ability to communicate;
- Specialized services or equipment needed to improve communication ability;
- Whether a fully signing environment would be appropriate for effective communication and/or improving communication (the assessor is not to determine whether it is desired by the individual);
- Needed communication assistance at meetings/appointments;
- Timing of reassessment;
- Whether a separate assistive technology evaluation is necessary; and
- Any other matter the assessor deems relevant.

Communication Assessment results are sent to the class member, the assigned SC, SCO, the AE of registration, and the appropriate ODP Regional Office.

ODP Announcement 19-135, *Supports Coordinators' Guide to the Communication Assessment and Reassessment*, should be followed.

### **Section 3: Development of the ISP**

The ISP is developed by the individual and his or her ISP team and is facilitated by the SC in accordance with the ISP Bulletin. Please note: the individual can lead the ISP meeting, if he or she chooses.

All ISP team members play vital roles in the ISP meeting by fully participating to share knowledge, perspective, and insight as the SC develops the ISP based on that information. Each ISP team member ensures that information provided is current and is presented professionally and with sensitivity. The information collected should present a complete and comprehensive picture of the individual. Specific examination of information will be part of the ISP process, including possible changes in the individual's living situation or health status, incident reports documented in HCSIS, monitoring findings or other changes that will impact the individual's health and welfare, services and supports or ability to have an everyday life. Service options must be promoted and fully explored with every individual.

Once the person's preferences for how they want to live their life and their needs are assessed, the LifeCourse Integrated Supports Star can assist the ISP team to identify what resources and opportunities in the person's life can support their preferences and needs and what type of paid supports can enhance or supplement those resources. While all needs must be reviewed, not all needs require a paid service.

If the individual and the ISP team determine that an additional paid service is necessary to address an assessed need, they must identify the outcome or include a specific skill or valued experience the individual wants to achieve and develop a measurable Outcome Action to support that achievement. The ISP also identifies who will provide support or paid services, with what frequency, and who holds responsibility for different aspects of ISP implementation. Any changes to the individual's demographic information should be addressed and updated in HCSIS as they occur.

For services that do not assist the individual in achieving or maintaining a specific skill or a valued experience but are needed to ensure the individual's health, safety and welfare, such as Companion services, the ISP team needs to develop a measurable Outcome Action that supports meaningfully in home and community life.

In addition, the ISP must be written in plain language and in a manner that is accessible to the individual.

Anyone who has been found eligible for services within the scope of this manual must have an ISP completed and entered into HCSIS.

- Abbreviated ISPs may only be completed for an individual who is not eligible for Medical Assistance and receives non-waiver services that cost less than \$2,000 in a Fiscal Year (FY). When completing an abbreviated ISP, the following minimum screens must be completed:
  - Demographics
  - Individual Preferences.
  - Outcome Summary.

- Outcome Actions.
- Services and Supports Directory (Provider, Vendor, and/or AWC).
- Service Details (only for individuals who have a funded service).
  
- Although the cost of base-funded case management services will not be included in the \$2,000 limit listed in the previous bullet, ODP recommends that individuals, SCs and teams include in the ISP the specific actions the SC will perform in support of the individual's outcomes and priorities.
- A full ISP is required to be completed for all individuals who receive Targeted Support Management (TSM).

### **Section 3.1: Annotated ISP (Attachment #4)**

The Annotated ISP is attached to this bulletin and located in the Learning Management System (LMS) in addition to MyODP. It is a valuable tool for SCs to use when creating, updating, and/or revising ISPs. It provides clear and concise description summaries for each section of the ISP that will help all team members assist in the development of a quality ISP.

### **Section 3.2: LifeCourse Framework and Principles to Guide the Development of the ISP (Attachment #5)**

The LifeCourse principles and framework were created to help individuals and families of all abilities and all ages develop a vision for a good life. Individuals need to be encouraged to think about what they need to know and do, how to identify or develop supports, and how to discover what it takes to live the lives they want to live. Individuals and families may focus on their current situation and stage of life but may also find it helpful to look ahead to think about life experiences that will help move them toward an inclusive, productive life in the future.

Attachment #5 provides an overview of the LifeCourse framework and principles which an SC can use to facilitate conversations and discussions in a given area. It is best practice for SCs to ask individuals and families if they have utilized any of the LifeCourse Tools such as the Integrated Supports Star and/or Trajectory which are part of the LifeCourse toolkit. If so, would they like to share their tools with the team in the development of the ISP. In addition, as part of completing monitoring of individuals, SCs are to ask if the individual has a vision for a good life and if support is occurring to assist with achieving that vision. When the individual has expressed a vision for the good life, the ISP team needs to discuss whether additional support is needed to assist with achieving the individual's vision for a good life for inclusion in the ISP. The Integrated Star tool is an excellent resource to use to facilitate this discussion to ensure all possible supports are explored, not just paid services.

The LifeCourse Framework was created by Missouri Family-to-Family under the leadership of the University of Missouri at KC Institute on Human Development, Missouri's University Center on Excellence in Developmental Disabilities. As a participating state in the National Community of Practice of Supporting Families throughout the Lifespan, Pennsylvania's ODP embraces the LifeCourse Framework as a set of principles and tools to guide conversations and planning with the people we support.

The LifeCourse resources can be downloaded using the following link: <http://www.lifecoursetools.com/planning/>. Particularly noteworthy for professionals is the resource entitled “*Charting the LifeCourse: Experiences and Questions Booklet*”. The questions in this guide represent the diverse experiences of the families and self-advocates who developed these materials and concepts. Individuals and families, professionals and community members need tools that will help them along the way in achieving full, meaningful and self-determined everyday lives. This booklet is intended to be a helpful tool for the journey.

**For individuals with disabilities or special healthcare needs and their families**, *Charting the LifeCourse: Experiences and Questions* is helpful in: 1) exploring questions and life experiences at all ages and areas of life so they can create and plan a vision for a good life now and in the future; and 2) guiding conversations with family, friends and/or professionals in their support network about life goals and outcomes or what they need to be successful and self-determined now and in the future.

**For professionals who serve individuals with disabilities**, this guidebook helps to: 1) build upon their own understanding of the needs of the people they support; and 2) start conversations about what people need in order to be successful and self-determined throughout their lives, and to help them think about how their choices, decisions and experiences now can help shape the future.

**For the broader community**, the LifeCourse guide can be used by anyone who wants to learn more about what people with disabilities and their families experience and think about as they strive to live full and meaningful lives now and in the future. By considering the questions in the guide, community members may find ways to be more inclusive and accepting of all citizens in everyday community life.

### **Section 3.3: Outcome Development**

Outcomes signify a shared commitment to take action. Within ISP Outcomes, the things that are important to maintain or change (Outcome Statements) are joined with the method to attain them (Outcome Actions). Outcome Actions specify what will occur to achieve the Outcome Statement, including paid services (when they are necessary), to meet assessed needs and maintain health and welfare.

The ISP team develops measurable Outcome Actions based upon the individual's ability to acquire, maintain or improve skills, including those that increase his or her safety and well-being. It is important to remember that it is about people having better lives not just better plans.

Outcome Statements represent what is important to the individual, what the individual needs, what the individual wants to maintain or change in his or her life. Outcome development builds on information gathered during the ISP process and signifies a shared commitment to take action that could make a difference in the individual's life in meeting his or her assessed needs. It is crucial to address barriers and obstacles that may affect the individual's success in achieving the Outcome Statement, especially if these obstacles can impact his or her health and welfare. It is important to remember that we need to assist the person to create a Vision for a

Good Life. The future is not something we enter; it is something we create. Creating the future requires us to make choices and decisions that begin with a dream.

Outcome development criteria:

- There should be a clear connection between the individual's preferences and choices and the actions the ISP team determines are necessary to meet needs associated with the individual's preferences and choices.
- The individual and ISP team should work together to find acceptable Outcome Statements that enable the individual to exercise his or her choices, while at the same time Outcome Actions that meet the individual's needs, minimize risk, and achieve or maintain good health.
- Although every funded service must be linked to an Outcome, not every Outcome requires a funded service. There may be Outcome Statements that are important to the individual but do not relate to, or are not supported by, a funded service. Resources and opportunities available to the person through their family and community connections can result in achieving the outcome.
- Any barriers or concerns that prevent the Outcomes from being tangible and reachable must be addressed during the ISP process.

An Outcome Statement supported by a funded service should relate back to the service definition and the assessed need for the service. For example, an Outcome Action supported by In-Home and Community Support should show how the individual will acquire, maintain or improve a skill.

### **Section 3.4: Outcome Actions**

A completed ISP should provide a means of achieving Outcomes important to the individual. Outcome Actions help the ISP team determine what actions, services and supports are needed to achieve the Outcome. When developing actions to support Outcome Statements, the ISP team begins by considering the resources and opportunities available to the person through their family and community connections. When identifying services and supports, the team considers all available resource opportunities, including friends, family, faith-based organizations and activities, neighbors, local businesses, schools, civic organizations and employers.

Teams may determine it is necessary to include services in Outcome Actions to meet assessed needs and ensure health and welfare while the Outcome is being pursued. When Outcome Statements require services, they include clear statements regarding the expected result, given the service the individual is receiving, by answering the following questions:

1. What difference will the service make in the individual's life?
2. What is the current value of the service and is it helpful?
3. What assessed needs, and/or health and welfare concerns, is the service intended to address?
4. What does the person hope to learn or accomplish?

An important part of connecting services to Outcomes is having open discussions during ISP meetings. By keeping the lines of communication open, the team can identify new and creative ways to help identify Outcomes and address needs and preferences.

Finally, team members should work in partnership to ensure that the individual is making progress and Outcome Actions are being achieved or remain relevant. The ISP must be a living document, responsive to the individual and his or her needs. In order for the ISP to be responsive, it should be updated throughout the year to reflect needed changes to the services and Outcomes.

### **Section 3.5: Identification of Services and Supports**

A completed ISP should provide a means of achieving Outcome Statements important to the individual by integrating resources and opportunities in the person's life with funded services. The ISP must address all assessed needs that affect the individual's health and welfare.

- Integrated community supports and other funding sources should be considered prior to ODP funding.
- The team uses the Outcome Actions to ensure that services and community supports reflect the action steps needed to promote the achievement of the Outcome Statement.
- Each funded service must be linked to an assessed need and an Outcome. Each service does not need a separate outcome.
- The team should identify the type, duration, frequency and amount of each service needed to achieve the Outcome Actions identified in the ISP.
  - Type of service is documented through the service name on the *Service Details* screen in HCSIS.
  - Duration of services is documented through the start and end dates of the service on the *Service Details* screen in HCSIS. Duration is also documented under the *Outcome Actions* section in the *Frequency and Duration of actions needed* field. Duration means length of time.
  - Frequency of services is documented on the *Outcome Actions* screen in the *Frequency and Duration of the actions needed* field. The frequency of a service is the number of times that the service is rendered (i.e. daily, weekly, monthly or annually depending on the service) based on the needs of the individual.
  - Amount of services is documented through the number of units included on the ISP in the *Service Details* screen in HCSIS.
  - Training to meet the needs of the individual which includes but is not limited to the following areas: communication, mobility and behavioral.

#### SC documentation requirements for identification of services and supports:

- The type, duration, frequency, and amount of each service, including Supports Coordination, are documented in the service and supports section of the ISP.
- If resources and experiences through the family and community are not available at the time the ISP meeting is held, the SC should document the efforts he or she has made to explore these within the Outcomes Section of the ISP.

- Other non-ODP funding sources, including but not limited to the Pennsylvania Medical Assistance (MA) State plan, Behavioral Health, Early Periodic Screening and Diagnostic Testing (EPSDT), OVR and the Department of Education, should also be documented in the Outcomes Section of the ISP.

### **Section 3.6: Participant-Directed Services (PDS)**

Participant-directed services can provide the person and their family with maximum choice, control and autonomy. The Vendor Fiscal/Employer Agent (VF/EA) model provides for maximum control by allowing the individual or their family to be the employer of staff who provide support. The Agency with Choice (AWC) model provides for the joint employment by the individual/family and a provider agency.

AEs, SCOs, ODP, the VF/EA Financial Management Services (FMS) and the AWC FMS share the responsibility of sharing ODP developed or approved information such as consumer guides to self-direction, ODP policy bulletins on participant direction, the ODP established wage ranges, and, for VF/EA participants, the comprehensive Enrollment Packet referred to as the “startup packet” to all individuals.

The AE shall make information on FMS and participant direction available to Waiver applicants at Waiver enrollment. SCOs are responsible for ensuring that SCs inform and fully discuss with participants prior to the initial ISP meeting and at least annually thereafter of the right to choose among and between services and providers to support participants’ needs. SCs must provide participants with the ODP developed or approved information such as consumer guides to self-direction, ODP policy bulletins on participant direction, the ODP established wage ranges, and the ODP approved statewide VF/EA start-up packet. SCs provide the participant with a basic overview of the participant-directed options, and the differences and responsibilities associated with each option. SCs provide contact information for the statewide VF/EA on contract with ODP as well as the ODP designated AWC in their AE. The SC is required to share the above information during the planning process, annual ISP meetings, and upon request. SC also provide participants with support and assistance to make the decision to exercise participant direction authority, and refer participants to other resources (i.e. FMS, supports brokers) as necessary. If a decision is made to self-direct some or all of the needed services, the participant and his or her team will then select either the AWC or VF/EA FMS option. Documentation of the choice is documented by the SC on the ISP Signature Page (DP 1032). In addition to providing information and assistance to support a participant with decisions on the option to self-direct, the SC also supports the participant with designating a surrogate and transition activities when needed.

#### *Who can use PDS?*

To be eligible for PDS, the individual **must live** in a private home. Individuals living in agency owned, rented, leased or operated homes **may not** participate in PDS. However, there is an exception for the Supports Broker service, which may be provided for individuals who receive Residential Habilitation, Life Sharing or Supported Living services in the following circumstances:

- The individual has a plan to transition from a residential setting to a private residence
- The individual has a plan to self-direct their services through an AWC or VF/EA FMS once they are in a private residence

Participants who reside in a waiver residential habilitation setting may utilize Supports Broker services in the following circumstances:

- The participant has a plan to transition from a residential setting to a private residence
- The participant has a plan to self-direct their services through an AWC or VF/EA FMS once they are in a private residence

*How is this different from choosing a provider agency to manage all of the individual services?*

- The individual is able to expand the amount of choice and control they have over who provides their services and supports, and the way those services are provided.
- The individual is able to select and hire their own Support Service Professional (SSP).
- The individual is able to train their SSPs to provide services in a way that meets their needs.
- The individual is able to create the SSP's schedule.
- The individual is able to supervise their SSPs.
- The individual is able to dismiss a SSP from employment.

*What are the types of Financial Management Services the individual can choose from?*

- **VF/EA Option**: The VF/EA FMS model is provided through a statewide entity on contract with ODP. In the VF/EA model, the participant or their surrogate is the "Employer" of qualified support service professionals. Through this model, the participant or their surrogate has responsibility to fulfill functions such as but not limited to:
  - Recruiting and hiring qualified SSPs;
  - Orienting and training SSPs;
  - Determining SSP schedules;
  - Determining SSP responsibilities;
  - Managing daily activities of SSPs; and
  - Dismissing SSPs when appropriate.

Under the VF/EA model, the FMS is responsible for functions such as but not limited to:

- Functioning as the employer agent on behalf of the participant/surrogate.
  - Withholding, filing, and paying Federal employment taxes, State income taxes and workers compensation on behalf of the participant/surrogate.
  - Paying SSPs and vendors for services rendered as per the participant's authorized ISP.
  - Verifying that SSPs meet statewide qualification criteria for the service(s) they provide.
  - Conducting criminal background checks and child abuse checks, if applicable, on prospective employees.
  - Providing employers with informational materials for enrollment of the employer and the SSPs into the VF/EA FMS model.
- **AWC FMS Option**: The AWC FMS model is available through locally based AWC FMS providers. In the AWC model, the AWC FMS provider is the "Employer of Record" of

qualified support service professionals. Through this model, the participant or their surrogate functions as the Managing Employer and works in a joint employer arrangement with the AWC FMS to fulfill responsibilities, such as but not limited to:

- Recruiting and referring qualified SSPs to the FMS for hire;
- Participating in training of SSPs;
- Determining SSP responsibilities; and
- Managing the daily activities of SSPs.

In the AWC model, the FMS is responsible for functions such as but not limited to:

- Hiring qualified SSPs referred by participants/surrogates;
- Processing employment documents;
- Verifying that qualified SSPs meet the qualification standards outlined in Appendix C-3 of the waivers;
- Obtaining criminal background checks and child abuse checks, if applicable, on prospective employees;
- Invoicing PROMISe for services authorized and rendered;
- Preparing and disbursing payroll checks;
- Providing workers compensation for SSPs;
- Providing a variety of supports to participants/surrogates, to include employer skills training and development of a worker registry; and
- Conducting SSP training as needed or requested.

The VF/EA or AWC FMS service available to an individual is an indirect service, “**administrative service**”, which must meet contractual conditions. This service assists individuals and surrogates in the employment and management of support service professionals and vendors. For individuals receiving waiver services, when something is an “**administrative service**” it is not like other waiver services. The individual does not have a choice of organizations that provide the administrative service. However, the individual may select the type of FMS model he/she wants to use. The fee associated with FMS is not included in the ISP “services” budget.

The VF/EA FMS provider and the AWC FMS provider are required to provide the administrative service and pay for all identified participant directed and vendor services authorized for a participant who is self-directing. An Organized Health Care Delivery System (OHCDs) provider may not be authorized as part of the participant’s ISP if the participant has selected one of the two FMS options.

Please note that PROMISe will only approve one monthly FMS Admin Fee claim for a participant in a given month and year. Therefore, only one VF/EA FMS, AWC FMS or OHCDs provider is able to bill and receive payment for the administrative fee.

*What services can an individual self-direct?*

- Assistive Technology.
- Companion.
- Homemaker/Chore.
- In-Home and Community Support.

- Participant-Directed Goods and Services (Community Living and P/FDS Waivers only).
- Respite.
- Supported Employment.
- Supports Broker Services.
- Education Support Services.
- Specialized Supplies.
- Home Accessibility Adaptations.
- Vehicle Accessibility Adaptations.
- Fees and Registration Costs for Family/Caregiver Training and Support.
- Public Transportation and Transportation Mile.

 SC documentation requirements for participant-directed services:

- Individuals who choose to self-direct must select one of the two FMS options to assist with PDS.
- The individual's ISP must have at least one participant-directed service. This includes participant-directed services with an hourly wage and/or participant-directed vendor services.
- The individual's ISP must include the designated procedure code for the FMS organization's monthly administrative service per ODP instructions.
- The SC may not authorize an OHCDs provider as part of the ISP if the participant has selected to self-direct services with one of the two FMS options.

### **Section 3.7: Choosing Qualified Providers for Funded Services**

The SC is responsible to provide information regarding potential willing and qualified providers for needed services during the initial plan meeting and at least annually thereafter. Providers that are qualified to provide a service necessary to support the individual's assessed needs and support achievement of the individual's Outcome Statements are reviewed with the individual. The individual shall exercise choice in the selection of qualified providers, including SCO. Providers of waiver services are qualified according to the provider qualification standards established in Appendix C of the approved waivers. Providers who are providing non-waiver funded services are qualified according to the standards established by the County Program. Providers are responsible for making decisions about their willingness to provide services based on their ability to meet the individual's needs.

The SC is responsible to make referrals to chosen providers promptly based on the individual's selections so needed services and supports are secured.

 SC documentation requirements for choice of qualified providers:

- The choice of qualified providers, including SCO, should be documented on the ISP signature form.

### **Section 3.8: Applying Miller Settlement to ISPs**

On Nov. 7, 2018, ODP entered a settlement agreement, Miller, et al. v. DHS. The settlement agreement requires specific ISP documentation for certain individuals receiving services in the Consolidated Waiver. This subsection details the individuals covered by this settlement and the documentation steps that SCs are required to take.

SCs must include in each individual's ISP all services that the ISP Team agrees are necessary for the individual, regardless of whether a provider is identified for any or all services, and to the extent that the necessary requested service is an available service under the Consolidated Waiver. This means that when an individual enrolled in the Consolidated Waiver has selected a service to meet an assessed need, but has not chosen a willing and qualified provider, the service information must be documented in the individual's ISP.

To ensure statewide consistency, ODP is requiring that the information be documented and tracked in the Outcome Section of the ISP. SCs should reference the Annotated ISP for guidance on documentation requirements to satisfy the terms of the settlement agreement.

### **Section 3.9: Provider Back-up Plans**

Providers are obligated to render services in accordance with the approved and authorized ISP. A back-up plan is the written strategy developed by a provider to ensure the services the provider is authorized to provide are delivered in the amount, frequency, and duration as referenced in the individual's ISP. These back-up plans are discussed with the individual and developed to address the individual's needs and risk factors which are shared with the individual and team. A provider shall develop and provide detailed information on the back-up plan when individuals are supported in their own private residence or other settings where staff might not be continuously available. The ISP should include a backup plan to address contingencies, including the failure of a support worker to appear when scheduled to provide necessary services when the absence of the service presents a risk to the individual's health and welfare. Back-up plans are discussed and updated when necessary, throughout the year or during the next ISP meeting. SCs should monitor that the individual is receiving the appropriate type, amount, duration, and frequency of services to address the individual's assessed needs and that support desired Outcome Statements as documented in the approved and authorized ISP. If services are not rendered per the ISP due to the individual not being available because they are in hospital/rehabilitation care for an extended period, the provider should notify the SC and AE immediately. Individuals who self-direct their services already complete an emergency back-up designation form. The following represents ODP criteria for all other back-up plans:

- The name and phone number of the provider to be called if the direct service professional does not show up.
- The name and phone number of the primary caregiver and two persons in the family or community who may be called in the absence of a primary caregiver if the individual cannot get in touch with the provider.
- A description of what things need to occur if no one is available to assist the individual (the individual's urgent needs and any actions that need to take place).

 SC documentation requirements for back-up plans:

- The SC will document within the crisis support section of the ISP that all back-up plans for providers rendering services to the individual were reviewed to ensure that the plan meets ODP criteria, a copy of the plan was given to the individual and shared with the SC for inclusion in the ISP, and where the original plan can be located (i.e: individual file located at Provider agency).

### **Section 3.10: Qualified Provider ISP Roles and Responsibilities**

For licensed services, the ISP will be the first source of review to determine compliance with planning and assessment standards. Qualified providers of service must participate in the assessment and planning process, including ISP team meetings, and provide necessary information to the SC for incorporation into the ISP. Qualified providers should maintain documentation of the submission of ISP information to the SC. Qualified providers are not required to develop their own separate ISP if the individual has a SC. Individuals who receive funding for services from another state may not have a SC.

Qualified providers are responsible for completing assessments and evaluations related to the individual as well as progress notes that ensure service delivery is occurring at the quality, type, frequency, and duration stated in the ISP Outcome Actions, per service authorizations and applicable regulations and policies.

### **Section 3.11: Responsibilities Regarding the Timeline for Annual ISPs**

The Annual ISP timeline (Attachment #2 of the ISP Manual) assists all team members including AEs with identifying ISP roles and the activities associated with the ISP process. AEs, SCOs and providers are responsible for all or part of the development and/or approval and authorization of ISPs by performing the following activities in accordance with the ISP timelines established by ODP:

- Collaborating with the individual, family, provider, and other team members to coordinate a date, time, and location for the Annual Review ISP Meeting at least 90 calendar days prior to the end date of the ISP.
- Coordinating information gathering and assessment activity, which includes utilizing and incorporating statewide needs assessment information from the Annual Review ISP Meetings, at least 90 calendar days prior to the end date of the ISP.
- Distributing invitations to ISP team members at least 30 calendar days before the ISP meeting is held.
- Facilitating the ISP meeting with all team members invited at least 60 calendar days prior to the end date of the ISP.
- Submitting the Annual ISP to the AE or county for plan approval and service authorization at least 30 calendar days prior to the end date of the ISP.

- Distributing the completed ISP Signature Form to ISP team members.
- Resubmitting the ISP for approval and authorization within seven calendar days of the date it was returned to the SCO for revision.
- Distributing approved and authorized ISPs to the individual, family, and other ISP team members (identified on page 6) who do not have HCSIS access within 14 calendar days prior to the end date of the ISP.

### **Section 3.12: ISP Development Under 55 Pa. Code Chapters 2380, 2390, 6400 and 6500**

- In most cases, the individual will have an SC that creates the ISP in HCSIS before the individual receives the 2380, 2390, 6400 or 6500 service(s).
- An ISP must be completed, but not entered in HCSIS, for any individual who attends a facility licensed under 55 Pa. Code Chapters 2380, 2390, 6400, and 6500, who does not have an SC. If the individual does not have an SC, the program specialist as specified in Chapters 2380, 2390, 6400 and 6500 will complete the annotated ISP in Microsoft Word.
- These specific ISPs will be monitored during ODP's licensing inspection. An ISP is not required for an individual who lives in an Intermediate Care Facility for Persons with Intellectual Disabilities (ICF/ID), but attends a facility licensed under 55 Pa. Code Chapters 2380 or 2390.
- The program specialist must develop the initial ISP within 90 calendar days after admission to the facility or program.

### **Section 4: ISP Signature Form (DP 1032) (Attachment #3)**

The SC is responsible to review the information on the ISP signature form with the individual. This includes reading and thoroughly explaining each question to the individual prior to indicating the appropriate answers on the check boxes on page 2 of the signature form.

At the conclusion of the ISP meeting, the ISP signature form must be completed. Each person in attendance at the ISP meeting should print their name, identify their relationship to the individual including title/provider agency, and then sign and date the form. If the individual or any other ISP team member was not present, the reason for his or her absence must be documented on the ISP signature form. If the individual was not able to be present, the SC will review the results of the meeting with the individual. The SC should document this review by having the individual sign the ISP signature form noting the date the review was held.

If the individual was in attendance, but chooses not to sign the ISP signature form, the SC must indicate this on the ISP signature form.

If the individual or any other ISP team member disagrees with the discussions held during the ISP meeting and/or the content of the ISP, they must print their name, identify their relationship or title/provider agency, and sign at the designated section of the ISP signature form.

Providers of 6400, 6500, 2380 and 2390 licensed services should report content discrepancies according to the regulations set forth under those chapters to the SC (if the individual does not have an SC, then to the designated program specialist) and ISP team members as applicable.

The SC is responsible for ensuring that the signature form is completed correctly as per the instructions included on the signature form as well as sending copies of the signature form to all ISP team members once the ISP is submitted to the AE for approval.

## Section 5: ISP Approval and Authorization

The Annual Review ISP must be completed, approved, and have services authorized by the Annual Review Update Date. The AE is responsible to review, approve and make authorization decisions about ISPs in HCSIS within 30 calendar days prior to the end date of the ISP. In addition, SCs must ensure that all Annual Review ISPs are distributed to required team members within 14 calendar days prior to the Annual Review Update Date. In order to assist the ISP team, HCSIS generates an alert for the SC based on the date entered into the Annual Review Update Date field. This alert is intended to inform the SC that an update to the current ISP is due within 45 days.

By definition in Section 19 of this manual, the Annual Review Update Date is the end date of the current ISP plan year.

The Annual Review Update Date does not change from year to year. Only the year changes, not the month or day. For example: if last year's Annual Review Update Date was 8/9/18, this year's Annual Review Update would be 8/9/19. The only exception is during a Leap Year.

SCs should enter the Annual Review Update Date as well as the Annual Review Meeting Date into HCSIS when completing Annual Review plans. Correct completion of these fields will ensure that reporting mechanisms in HCSIS related to the ISP data are accurate. If the team wishes for the Annual Review Update Date to be updated in order to align with other requirements, there should be a team agreement. The team should consider all timeframe impacts (i.e. provider quarterly meeting requirements per the ISP Regulations) prior to making this change.

The SC should enter the ISP into HCSIS in accordance with ODP policy and DHS standards and submit to the AE for approval and authorization at least 30 calendar days prior to the end date of the ISP. If the AE sends the ISP back to the SC for revision, the SC must make the necessary corrections and resubmit the ISP to the AE within seven days of the date it was returned.

Prior to authorizing a service in an ISP, the AE shall validate that:

1. Required prior authorization or ODP approval of a variance to service limits was completed. All Assessed Needs as identified through the Statewide Needs Assessment instrument, other assessments as appropriate.
2. The Outcome Statements listed in the ISP relate to what the individual and ISP team identified as important to the individual and Outcome Actions relate to identified needs and preferences.
3. Services are identified to support assessed needs related to Outcome Statements.
4. The ISP reflects the full range of a waiver individual's needs and therefore must include all Medicaid and non-Medicaid services, including informal, family and community supports and supports paid by other service systems to address those needs.
5. The ISP includes the type of services to be provided; the amount, duration and frequency of each waiver-eligible service, and the provider that furnishes each service.

6. Services are consistent with the approved waivers and current waiver service definitions.

The AE shall not authorize services to be funded through one of the waivers which are provided under the state plan, private insurances or other third-party payers, unless evidence that all other payers have been exhausted and other funding types are not available.

### **Section 5.1: Auto Approval and Authorization of Services**

In order to provide some efficiencies in the plan approval and authorization process, all services will go through an auto approval and authorization process that AEs can manage by using an AE Dashboard via HCSIS.

ODP developed business rules that prevent auto approval and authorization in HCSIS that all ISPs are subject to. If an ISP meets the criteria of any one of these business rules, the ISP will not auto approve/authorize and will appear on the AE Plan Dashboard for manual review by the AE.

The following table identifies the Plan Category and waiver(s) subject to the “Rules” listed under the “Rule Name” column. When a rule is met, the plan will go to the AE Dashboard and the AE will be required to manually review and approve it. Any plan category/waiver combination not listed below or where there is a blank space in the table **will not** be subject to the rules in the “Rule Name” column and will auto approve/auto authorize. For example, if the units for a service are either increased or decreased on a FY Renewal and the funding associated with those services is either the Community Living Waiver or the P/FDS Waiver, the unit change will auto approve and auto authorize.

SCs will be able to override the auto plan approval by clicking the override automatic approval checkbox which is the last checkbox on the Submit Draft Plan Screen. When the field is checked for a plan, the plan will require manual approval by the County AE. This checkbox only appears for plans/programs eligible to receive auto approval.

**NOTE: If the draft is a Critical Revision without any changes to the services, the Plan will automatically approve, even if the manual approval checkbox is selected.**

Plan category/waiver combinations not represented in the table below are not eligible for automatic approval and will require manual review/approval by the AE (e.g. an individual enrolled in the Base Program with any plan revision type or enrolled in Consolidated Waiver whose plan is undergoing a Critical Revision).

A 'Yes' in the Plan Category/Waiver column means if the individual is enrolled in that waiver and the plan is of that plan revision type, the plan will be evaluated for auto approval against that rule. For example, the Service Addition Rule applies to FY Renewals and Annual Renewal Updates for the Consolidated, Community Living and P/FDS waivers, and Community Living and P/FDS Critical Revisions. If a Consolidated Waiver FY Renewal is submitted that includes a service that was not on the previous plan (and does not satisfy an Old to New Service Definition Mapping), the FY Renewal will be flagged for manual approval by the County on the Plan Dashboard.

		Requires AE Manual Review Plan Category							
		FY Renewal			Annual Review Update			Critical Revision	
Rule Name	Rule Description	Conslid.	CLW	P/FDS	Conslid.	CLW	P/FDS	CLW	P/FDS
Service Addition Rule	A service is added to the current plan that was not on the previous plan and it does not satisfy an Old to New Service Definition Mapping.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Service Removal Rule	A service is removed from the current plan that was on the previous plan.	Yes	Yes	Yes	Yes	Yes	Yes		
Unit Increase Rule	The service units have increased by more than 0% as compared to the previous plan.	Yes			Yes				
Unit Decrease Rule	The service units have decreased by more than 0% as compared to the previous plan.	Yes			Yes				
Base Services Rule	Services mapped to only Base funding streams exist on the current plan and service information has changed.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Prior Plan Pending Rule	Future FY plan being submitted when there is a non-approved Critical Revision of the current FY plan.	Yes	Yes	Yes					
Missing Annual Review Rule	The Annual Review Update date has passed and no Annual Review Update was performed in the current FY.	Yes	Yes	Yes				Yes	Yes
Waiver/Program Transfer Rule	The Waiver/Program of the individual has changed since the last approved plan.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Service Combination Rule	Certain combination(s) of services exist concurrently on the plan	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

		Requires AE Manual Review Plan Category							
		FY Renewal			Annual Review Update			Critical Revision	
Rule Name	Rule Description	Conslid.	CLW	P/FDS	Conslid.	CLW	P/FDS	CLW	P/FDS
	and service information has changed.								
Multiple Funding Stream Rule	Services are mapped to more than one funding stream and an authorization decision has not yet been made.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Requested for Manual Approval Rule	SC selected Request for Manual Approval checkbox on Draft Plan screen.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Needs Level/Needs Group Changed Rule	The Needs Level/Needs Group information for the individual has changed since the last approved Plan.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
System Exception Rule*	Plan meets the error condition(s) of an existing Plan Approval or Service Authorization screen validation.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

## Section 6: Variance Form and Process

The process to request a variance to certain waiver service requirements can be found in Bulletin 00-18-06: *Variance Form and Process: Requesting a Variance in the Consolidated, Community Living and Person/Family Directed Support Waivers*.

This bulletin and the attachments (Variance Form DP 1086, Instructions) obsoleted Communication Number 065-17 and related forms. Any variance request must be made by using the DP 1086 form. Updates to the DP 1086 form are outlined in ODP Announcement 19-159: *Updated Variance Form DP 1086 and Instructions*.

The DP 1086 must be used in the preparation, completion and review of ISPs for individuals enrolled in the Consolidated, P/FDS or Community Living waiver when a variance request is made. The DP 1086 must be completed prior to the requested services being authorized on an ISP. When there is an emergency circumstance, and approval is required by ODP, the AE must contact the ODP Regional Office assigned to their area.

The SCO will complete the DP 1086 and forward it to the appropriate AE. For Community Participation Support, no review other than the ISP team is required.

For variances requiring AE determination, the AE will review the variance request and authorize the service on the ISP if supported by their review. The AE will provide a copy of the DP 1086 with the determination section completed to the SCO and provider (if appropriate).

For variances requiring ODP determination, the AE will submit the DP 1086 and their recommendation to the ODP Regional Office assigned to their area. The ODP Regional Office will provide a copy of the DP 1086 along with ODP's determination to the AE. The AE is responsible for providing this information to the SCO and provider (if appropriate).

The need for these enhanced levels of service below must be reviewed every 6 months at a minimum and the DP 1086 form must be completed based upon that review. The 6 month timeframe will begin on the date that enhanced levels of service are authorized. The ISP team can review the need for enhanced levels of service and complete a DP 1086 form more frequently than 6 months the first year, if needed, to align the review cycle with the Annual Review ISP.

Example: The Annual Review ISP is October 3rd. The ISP team identified the need for enhanced levels of service and the enhanced levels of services were authorized on January 10th. The ISP team must review the need for the enhanced levels of service in July and complete the DP 1086 form. The ISP team would then review the need for the enhanced levels of service at the Annual Review ISP in October and complete the DP 1086 form again. The next 6 month review would be due in April and then again with the Annual Review ISP in October.

### Community Participation Support

- Level 3 Enhanced – Provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is certified, has a bachelor's degree or is a licensed nurse.
- Level 4 – Provision of the service at a staff-to-individual ratio of 2:1.

- Level 4 Enhanced – Provision of the service at a staff-to-individual ratio of 2:1 with one staff member who is certified, has a bachelor's degree or is a nurse and one staff member with at least a high school diploma.

#### In-Home and Community Supports

- Level 3 – The provision of the service at a staff-to-individual ratio of 2:1.
- Level 3 Enhanced – The provision of the service at a staff-to-individual ratio of 2:1 with one staff member who is certified, has a bachelor's degree or is a nurse and one staff member with at least a high school diploma. Level 3 Enhanced services by a nurse are only available to participants age 21 and older.

## Section 7: Restrictive Procedures

The behavior support component of the Individual Plan has been previously referred to as a restrictive procedure plan or a restrictive component of a behavior support plan. As required by 55 Pa. Code §§ 2380.155, 2390.175, 6100.345, 6400.195 and 6500.165, when a restrictive procedure may be used for a person, the behavior support component of the Individual Plan must include the following:

1. The specific behavior to be addressed.
2. An assessment of the behavior, including the suspected reason for the behavior.
3. The outcome desired.
4. A target date to achieve the outcome.
5. Methods for facilitating positive behaviors such as changes in the individual's physical and social environment, changes in the individual's routine, improving communications, recognizing and treating physical and behavioral health conditions, voluntary physical exercise, redirection, praise, modeling, conflict resolution, de-escalation and teaching skills.
6. Types of restrictive procedures that may be used and the circumstances under which the procedures may be used.
7. The amount of time the restrictive procedure may be applied.
8. The name of the staff person responsible for monitoring and documenting progress with the behavior support component of the Individual Plan.

This information can be summarized in the Individual Support Plan (ISP). The detailed information has been, and will continue to be, included in the behavior support plan. Behavior support plans capture applicable behavior planning strategies designed to support the individual. Guidelines related to the provision of the behavioral support service, crisis intervention strategies and any restrictive procedures approved by the Human Rights Team should all be included in the behavior support plan.

Prior to use of a restrictive procedure, including the modification of an individual's rights, the information regarding the necessity and justification for the use of the restrictive procedure must be discussed with the ISP team for inclusion in the behavior support component of the Individual Plan. If a restrictive procedure will be used or if an individual's rights will be modified, the behavior support component of the Individual Plan shall be developed by a professional who has a recognized degree, certification or license relating to behavior support, and shall be reviewed and revised as necessary by the Human Rights Team (HRT), as enumerated in the bulletin.

### Informed Consent

To ensure the behavior support component of an Individual Plan is developed in compliance with 42 CFR § 441.301(c)(2)(xiii), thorough attempts must be made to obtain informed consent from the individual who will experience the modification of rights. No coercion may be used to obtain consent.

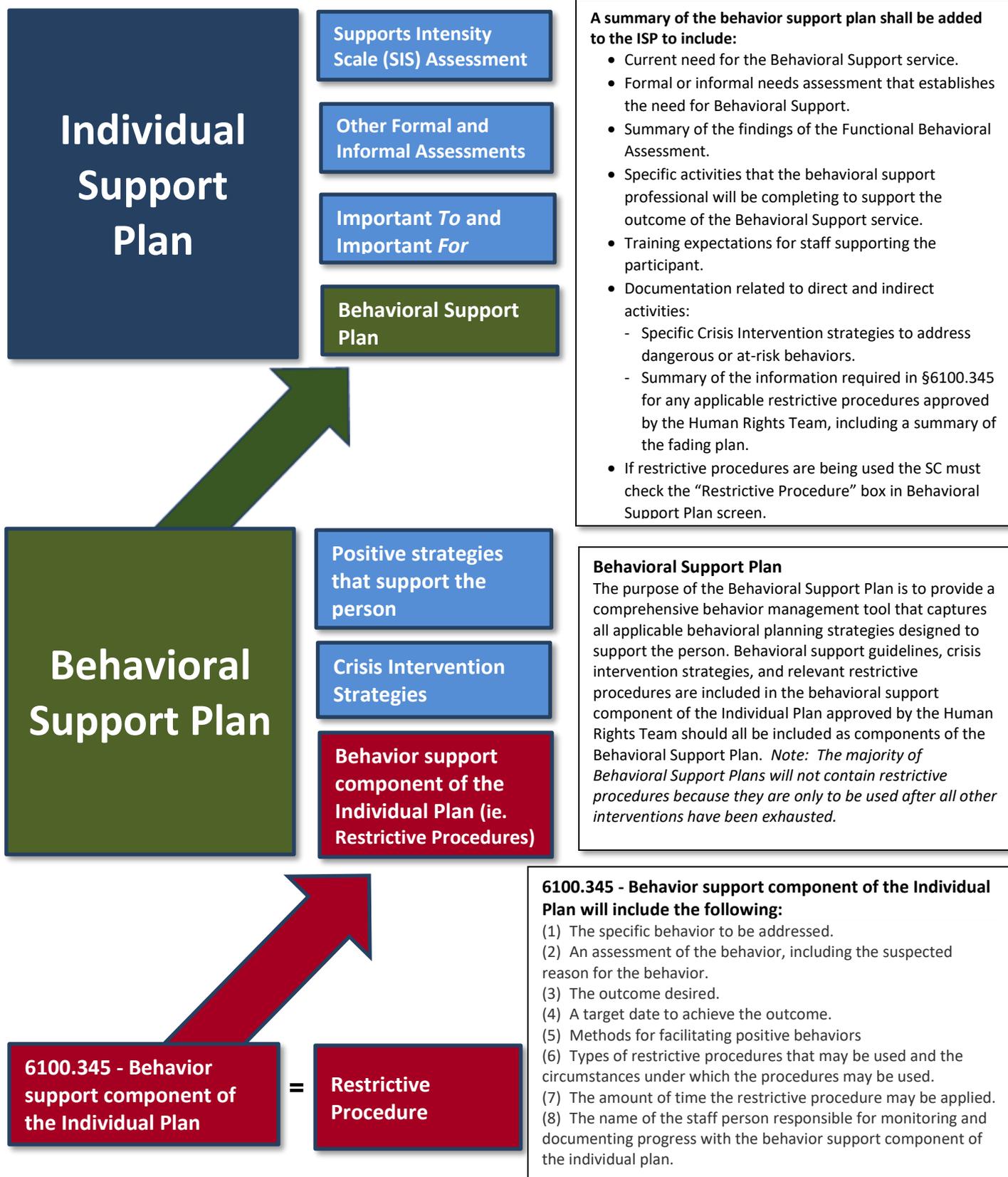
Informed consent is the knowing consent voluntarily given by an individual (or by the individual's substitute decision-maker or guardian, if applicable) who can understand and weigh the risks and benefits involved in the particular decision or matter.

Prior to the implementation of any modification of rights, the following process must be followed:

1. The person(s) from the ISP team securing the consent will:
  - Explain the intended outcome and nature of, and the procedure involved in, the proposed treatment or activity.
  - Explain the risks, including side effects, of the proposed treatment or activity, as well as the risks of not proceeding.
  - Explain the alternatives to the proposed treatment or activity, particularly alternatives offering less risk or other adverse effects.
  - Explain that the individual may withhold or withdraw consent at any time.
  - Present all information in a manner which can be understood by the individual(s) making the decision using their preferred communication method.
  - Be available to answer questions that the individual(s) may have regarding the matter for which consent is being sought.
2. When obtaining informed consent, the following documentation is required:
  - The consent or the attempts to obtain consent must be in writing and filed in the individual's record;
  - Details about the procedure utilized to obtain the consent;
  - The name, position, and affiliation of the person(s) securing the consent; and
  - A summary of the information provided to the individual from whom consent is secured.
3. The written consent or documentation of the attempts to obtain consent is dated and expires upon completion of the specific procedure for which it applies. The appropriateness of the consent shall be reviewed, at a minimum, as part of the annual review of the individual's ISP (or as frequently as required by law, regulation or policy).
4. The written consent or documentation of the attempts to obtain consent is reviewed by the Human Rights Team when there is a change to the restrictive procedure.

An individual and his or her guardian (if any) must be involved in developing the ISP. When the individual has a guardian who provides consent, the ISP must be explained to the individual as well. Other key members of the individual's ISP team must be involved in developing the ISP. Guardian/individual consent is helpful but is not required for the implementation of court ordered restrictions. Where restrictions are imposed by court order, a copy of the court order must be in the individual's record. It should be kept by the Supports Coordination Organization along with the ISP, and it should be kept by any provider that implements those restrictions. Every effort should be made to develop a plan to which all ISP team members can agree.

There may be times when consent is not obtained and, in order to ensure an individual's health and safety, the implementation of a restrictive procedure is necessary. In these situations, the plan must be presented to the Human Rights Team for review as outlined above (expedited review can be requested if there is an imminent health and safety need). The HRT has the authority to approve the restrictive procedure in the absence of consent, provided that documentation of attempts to obtain consent is present, and the restrictive procedure is determined to be necessary to preserve the individual's health and safety. These situations in particular highlight the critical role of the Human Rights Team in decision-making that addresses the need to balance human rights with the need to support individuals' health and safety.



## **Section 8: Implementation of Services**

Authorized waiver services should begin within 45 calendar days after the effective date of the waiver enrollment date, unless otherwise indicated in the ISP (e.g. individual's choice of provider delays service start, individual's medical or personal situation impedes planned start date). Any delays in the initiation of a service after 45 calendar days must be discussed with the individual and agreed to by the individual.

Authorized services must also be implemented as written per the current approved ISP, including the type, amount, frequency, and duration listed in the Outcome Actions section of the ISP. Those responsible for service implementation are accountable for services as indicated in the ISP and are responsible for documentation to support the provision of services as per Department standards referenced in 55. Pa. Code, Chapter 51 "Office of Developmental Program's Home and Community Based Services" Regulations.

The SC is responsible for verifying that service delivery occurred as written in the ISP. SCs are required to document service delivery in a HCSIS Individual Monitoring Tool. If during Monitoring, the SC discovers that services are not being delivered as per the ISP, then the SC is to meet with the team to determine the barrier to service delivery. The SC will facilitate a team discussion to overcome the barrier. If the team cannot reach a resolution to the barrier, the SCO should elevate to the County Program/AE.

## Section 9: Addressing Changes in Need Throughout the Year for Waiver Participants

The following guidelines, in regard to the funding source, should be used when addressing changes in need:

- Individuals enrolled in one of the waivers must have their assessed needs addressed within the scope and limitation of the applicable waiver, therefore the ISP services must be updated as necessary to address a change in need.
  - If the change in need impacts the currently authorized services and/or funding, the SC must create a critical revision. The critical revision must be created and submitted for authorization to the AE within seven calendar days of notification of the change.
  - If a change in need does not impact services or funding, the SC must create a general update. The general update must be created and finalized in HCSIS within seven calendar days of verification of the change in need.
  - If the new service(s) or funding is denied by the AE, the AE must provide the individual their due process rights.
  - When an individual's service needs change which will cause the P/FDS cap to be exceeded, the individual should be considered for enrollment in the Consolidated or Community Living Waiver. If capacity is not available, a PUNS should be initiated to assess these needs. In the interim, base funds or community resources if available may be used to augment the services required by the individual in the P/FDS Waiver.
  - If an individual who receives residential services (licensed Residential Habilitation, licensed Life Sharing or Supported Living) has a change in need that is an emergency situation or is a temporary change in medical or behavioral needs that the provider cannot meet without additional resources, Supplemental Habilitation may be approved. Please refer to *Section 14.17 Residential Services* for details on including Supplemental Habilitation in an individual's plan.
  - If an individual must request an exception to exceed the established limits or service conditions as detailed in the approved waiver service definitions, the Consolidated, Person/Family Directed Support or Community Living Waiver Variance Form (DP 1086) must be completed. Consult Bulletin 00-18-06 for further information.
  - The AE must approve and authorize or deny the revised ISP, including the attached funding, within 14 calendar days of receiving the revised ISP.

### SC documentation for changes in need throughout the year:

- If an individual experiences a change in need throughout the year, this change must be reflected in the individual's ISP.

- Upon verification of a change in need, the SC must document the change in a Service Note in HCSIS, update the individual's PUNS if applicable and initiate a critical revision to the ISP.

## Section 10: Updating ISPs

ISP teams should review services at least annually and as needs change throughout the year. ISP decisions made by teams, Bureau of Hearings and Appeals (BHA) or the Secretary of Human Services, are specific to the circumstances or needs of the individual at the time the decision was made and, in most cases, are not considered permanent or lifetime decisions. It is expected that these types of ISP decisions are revisited at least annually at the Annual Review ISP Meeting. If, at any time, the ISP team or AE determines the services that were included in the ISP as a result of previously made decisions are not needed, the ISP should be revised to reflect the current needs of the individual. It is best practice for SCs to ask individuals and their families if they have created, updated or revised any of the LifeCourse tools and whether they would like to share them with the team to ensure the ISP remains aligned with their vision for a good life.

There are seven ISP formats in HCSIS that are used in creating and updating ISPs. It is recommended that if any of the following ISP formats are utilized, all information and/or changes known at the time (such as demographic changes) be included in the ISP:

- **Plan Creation** – A plan creation is used when creating an ISP for the first time in HCSIS (referred to as the initial ISP), when there is not a current ISP in HCSIS or when there is a time-span or gap between two ISPs. The team sets proposed ISP review dates within the 365 calendar day required timeline. The initial ISP is considered a “bridge plan”, with a start date that is generally 60 to 90 calendar days after the initial ISP meeting and an end date of the following June 30, the last day of the FY. The initial ISP does not encompass an entire FY due to the timing of the initial ISP meeting. The “bridge plan” is used to align the ISP end date with the FY end date.
- **Fiscal Year (FY) Renewal** – A fiscal year renewal is used to renew the ISP for the following FY. The start date of the HCSIS ISP coincides with the start of the FY, or July 1. The FY ISP “expires” at the end of the fiscal year, or June 30. ISPs are developed on a FY basis in order to create service authorizations that encompass the full FY. Authorization takes place by service and each service is assigned a start and end date. The FY ISP can include up to one year of service. The ISP created through a fiscal year renewal will pre-populate with information from the previous ISP. Therefore, care should be taken to ensure that services continue to be accurately reflected. This process of renewing plans on the FY promotes efficiency in provider billing, as well as the ability to generate reports that accurately reflect all services and payments by FY. Additionally, as major changes to the waivers typically occur at the beginning of the FY, it allows for easier maintenance of any changes. If an annual review update and the FY renewal planning activities fall within the same month, it is recommended that the annual review update be completed first.
- **Critical Revision** – A revision to the ISP is used when an individual experiences a change in need which requires a change in current services, addition of services or a change in the amount of funding required to meet the needs of the individual. A critical revision to an ISP must be approved and authorized by the AE unless it meets auto authorization criteria in which it will be automaticity approved by HCSIS. The ISP team members should discuss and agree on changes made to the ISP before all critical revisions are finalized. If the individual, family member or any other team member

disagrees with the content of the ISP, this should be documented on the ISP Signature Form (DP 1032).

- Bi-Annual Review – A bi-annual review is a requirement for Pennhurst Class Action members. A bi-annual review is used for editing or updating an existing ISP that requires a review of the ISP twice a year, or every 6 months. This option will not allow the SC role to modify the plan start and end dates.
- Quarterly Review – A quarterly review is required by 55 Pa. Code Chapters 2380, 2390, 6400 and 6500. This review is used to edit or update an existing ISP at least every three months when no changes to the existing services and supports are required. The 4<sup>th</sup> quarterly review date originates from the date of the annual review and therefore, is the annual review update meeting. This option will not allow the SC role to modify plan start and end dates.
- General Update – The category field in HCSIS used to update content in the ISP that does not impact services or funding.
- Annual Review Update – An annual review update is used to document the results of an annual review ISP meeting.

## Section 11: Service Utilization

Service utilization is one of many important pieces of ISP development. Service utilization is a comparison of the amount and type of services authorized on an individual's ISP with what services have been provided. Service utilization is one of the ways to assist the ISP team in discussing the management of services. Services are based on the individual's assessed needs being met and the services promote the achievement of the Outcome Statements identified in the ISP. Service utilization data can assist the ISP team with discussions and future decisions on supports and services necessary to address assessed needs.

The SC's role in service utilization is to monitor and verify the type, duration, amount, and frequency of services and supports outlined in the ISP on a regular basis.

There are five guiding principles that should be addressed when looking at service utilization on an ISP:

1. Determine if the designated service has the desired effect to address the specified need, which promotes the achievement of an Outcome Statement.
2. Determine if there is an established limit associated with the service.
3. Determine that the units in the ISP are necessary based on the individual's current needs and are not above the established limit.
4. Review the previous year's utilization to inform discussions for future decisions.
5. Determine continued need and skill attainment.

It is important to understand why an individual over- or underutilized services and supports. There are four types of utilization issues that may be identified through service utilization reviews that help inform discussions and decisions:

- Service Delivery – utilization issue is occurring due to problems with service delivery (i.e. provider staffing, individual not available for the service to be delivered [hospitalization, vacation, etc.]).
- Billing Issues – provider is not billing regularly or successfully, therefore, services rendered are not reflected when looking at utilized units.
- Temporary Change in Need – an issue is occurring due to a life event that is happening to an individual, or his or her family member, that would cause temporary change to a service need (i.e. short-term hospitalization of caregiver, resulting in a temporary need for increased supports).
- Permanent Change in Need – an issue is occurring due to a life event that is happening to an individual, or their family member, that would cause a permanent change of service need.
- Provider not rendering service per the frequency and duration as outlined in the ISP.

### SC documentation for service utilization:

- The SC should have conversations about service utilization with the individual, family and ISP team and document those conversations in the individual's service notes and monitoring tools in HCSIS. Documentation should include the reason(s) for any under or overutilization that has occurred. This information should also be discussed and documented during the annual review ISP meeting.

## **Section 12: Monitoring of Services**

The SC and ISP team gather information and review the Outcomes and authorized services on an ongoing basis to ensure that the ISP continues to reflect what is important to and for the individual and that it continues to address the individual's needs. The ISP is revised or updated as needed based on these reviews. All revisions and updates are discussed with the individual and his or her family, surrogate or advocate and ISP team.

ODP exercises oversight of the ISPs through its standard monitoring processes to ensure that ISPs are implemented as written, including implementation of services and Outcomes, as well as to ensure that ISPs for individuals enrolled in a waiver are developed in accordance with the approved waivers.

SC monitoring verifies that the individual is receiving the appropriate type, scope, amount, duration, and frequency of services to address the individual's assessed needs and desired Outcome Statements as documented in the approved and authorized ISP.

### **Consolidated and Community Living Waiver SC Individual Monitoring Requirements:**

For participants who receive a monthly service, the SC monitors authorized services to ensure the participant's health and safety. The SC shall conduct at minimum a face-to-face monitoring once every 60 days. During a six-calendar month timeframe:

- One of the visits must take place at the participant's residence;
- One visit must take place at the participant's day service, including a nontraditional day program; and
- One visit may take place at:
  - Any location where an authorized service is rendered, OR
  - Any location agreeable to the participant.

Face-to-face monitoring is not required to occur at the place of employment or educational setting but may occur with the consent of the participant and his or her employer.

### **P/FDS Waiver SC Individual Monitoring Requirements:**

For participants who receive a monthly service, the SC monitors authorized services to ensure the participant's health and safety. The SC shall conduct monitoring at the following minimum frequency:

- A face-to-face monitoring once every three calendar months at a minimum.
- At least one of the face-to-face monitoring visit every six calendar months must take place in the participant's home;
- One visit per year must take place at the participant's day service, including a nontraditional day program as appropriate; and
- One visit per year may take place at:

- Any location where an authorized service is rendered, as applicable in the participant's plan; OR
- Any location agreeable to the participant.

Face-to-face monitoring is not required to occur at the place of employment or educational setting but may occur with the consent of the participant and his or her employer.

Please note: For all waiver participants who receive services on a less than monthly basis, ODP requires monthly monitoring conducted by the SC with at least one face-to-face occurring every three months.

**Deviation of monitoring frequency and location requirements for individuals in the Consolidated, Community Living and P/FDS Waivers:**

A deviation of monitoring frequency and location is only permitted when an individual:

- only receives a waiver service on a less than monthly basis
- is on temporary travel out of the state of Pennsylvania as per ODP's Travel Policy Related to Service Definitions

During the time that the individual is on temporary travel or receiving a waiver service on a less than monthly basis, the SC must conduct monthly monitorings with at least one face-to-face monitoring occurring every three months. The face-to-face monitoring can occur by a telecommunication application software product such as Skype. The use of such software is only permitted for monitorings of individuals who are on temporary travel or receiving a waiver service on a less than monthly basis. The monthly monitoring can be conducted by telephone; however, the use of a telecommunication application software product is encouraged.

For individuals in the Consolidated and Community Living Waivers on temporary travel, this requirement would only apply when the individual is out of the state for more than two consecutive months.

For individuals in the P/FDS Waiver on temporary travel, this requirement would only apply when the individual is out of the state for more than three consecutive months.

For individuals who receive a waiver service on a less than monthly basis, monthly monitorings are required.

SCs should document deviations of monitoring frequency and location in a service note and in the individual's ISP under the deviation section of the plan.

**Targeted Support Management and Base-Funded Case Management Individual Monitoring Requirements:**

For individuals not enrolled in the Consolidated, Community Living or P/FDS waiver, case management monitoring must take place at least annually and on a separate day from the ISP meeting, or at a frequency necessary to ensure the health and welfare of the individual. Deviations of monitoring frequency are not permitted for these circumstances.

## Section 13: Waiver and Base Administrative Services

### VF/EA FMS (Self-directing)

**The procedure code and service unit for VF/EA FMS for the Monthly Administrative Fee:**

Provider Type **54** - Intermediate Services Organization  
 Specialty **541** - ISO - Fiscal/Employer Agent  
 Service Unit – Per month  
 Age Limits & Funding:  
 Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old  
 Base Funding: 0 – 120 years old  
 Allowable Place of Service: 11-Office; 99-Community

Procedure Code	Service Level	Service Description HCSIS Description
<b>W7318</b>	<b>Vendor Fiscal/Employer Agent Financial Management Services</b>	An administrative service that assists individuals and/or their surrogates in the direct employment and management of qualified SSPs and vendors.  Monthly Admin Fee

### AWC FMS (Self-directing)

**The procedure code and service unit for AWC FMS Monthly Administrative Fee:**

Provider Type **54** - Intermediate Services Organization  
 Specialty **540** - ISO-Agency with Choice  
 Service Unit – Per Month  
 Age Limits & Funding:  
 Consolidated, Community Living & P/FDS Waivers: 0–120 years old  
 Base Funding: 0-120 years old  
 Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

Procedure Code	Service Level	Service Description HCSIS Description
<b>W7319</b>	<b>Agency with Choice Financial Management Services</b>	An administrative service that assists individuals and/or their surrogates in the employment and management of qualified SSPs and vendors.  Monthly Admin Fee

**VF/EA FMS Transition Service**

During the transition of an individual from the existing statewide VF/EA FMS to the new statewide VF/EA FMS, a **one-time** per individual transition service is available for each individual that has decided to transition to the new statewide VF/EA FMS in order for the new statewide VF/EA FMS to complete all required transition activities.

**The procedure code and service unit for VF/EA FMS One-Time Transition Services:**

Provider Type **54** - Intermediate Services Organization

Specialty **541** - ISO - Fiscal/Employer Agent

Service Unit – Flat fee

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office 99-Community

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W0190</b>	VF/EA FMS Transition Service	A <b>one-time</b> per individual transition service related to the completion of all required transition activities in order for an individual to transition from the existing statewide VF/EA FMS to the new statewide VF/EA FMS.  VF/EA FMS Transition Service

**VF/EA FMS Start-up Service**

A **one-time** start-up service is available to be approved for each individual concurrent with service authorization. The start-up service is for required activities related to the individual's enrollment with the statewide VF/EA FMS. The start-up service is approved for each individual in the month prior to approval of W7318 (the ongoing monthly per individual administrative service). This start-up service **may not** be approved for individuals transitioning from the existing statewide VF/EA FMS to the new statewide VF/EA FMS and may only be approved for new individuals enrolling with the statewide VF/EA FMS after a date specified by ODP. The VF/EA FMS start-up service may not be approved for the same individual in the same month as any other VF/EA FMS administrative service approved for the new statewide VF/EA FMS.

**The procedure code and service unit for VF/EA FMS One-Time Start-Up Services:**

Provider Type **54** - Intermediate Services Organization

Specialty **541** - ISO - Fiscal/Employer Agent

Service Unit – Flat fee

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office 99-Community

Procedure Code	Service Level	Service Description HCSIS Description
W0191	VF/EA FMS Start-up Service	<p>After a date specified by ODP, a <b>one-time</b> start-up service approved for each individual enrolling with the statewide VF/EA FMS. This start-up service <b>may not</b> be approved for individuals transitioning from the existing statewide VF/EA FMS to the new statewide VF/EA FMS and may only be approved for new individuals enrolling with the statewide VF/EA FMS after a date specified by ODP. The VF/EA FMS start-up service may not be approved for the same individual in the same month as any other VF/EA FMS administrative service approved for the new statewide VF/EA FMS.</p> <p>VF/EA FMS Start-up Service</p>

### **Base-Funded AWC or VF/EA FMS One-Time Vendor Payment (Self-directing)**

The procedure code and service unit for Base-Funded AWC or VF/EA FMS one-time vendor payment follows:

#### **Local VF/EA FMS & AWC FMS Service**

Provider Type **54** - Intermediate Services Organization

Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit – Outcome Based

Provider Type **55** - Vendor

Specialties: **267** - Nonemergency; **430** - Homemaker Services; **431** - Homemaker/Chore

Services; **543** - Environmental Accessibility Adaptations; **552** - Adaptive Appliances/Equipment;

**533** - Educational Service (this should be used for Education Support services as well as

registration and fees covered under Family/Caregiver Training and Support); **553** - Habilitation

Supplies; **519** - FSS/Consumer Payment

Age Limits & Funding:

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

Procedure Code	Service Level	Service Description HCSIS Description
W0025	Agency With Choice and Local Vendor Fiscal/Employer Agent Financial Management	An indirect service that assists individuals who receive base-funded services and/or their surrogates in the employment and management of employee related services (that is, qualified SSPs) and vendor services.

	<b>Services—Base Funded individuals</b>	The administrative service is billed as something other than a monthly fee.  Admin Fee-Base (varies by payment) <u>or</u> Admin Fee-Other
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### **OHCDs One-Time Vendor Payments (Non Self-Directing)**

Individuals who do not self-direct their services may have situations when vendor services are identified as a need. The needed vendor service can be managed through an Organized Health Care Delivery System (OHCDs) provider when the vendor does not enroll directly with HCSIS to provide the service nor enroll directly with PROMISe™ to submit a claim to be paid for the rendered service. The OHCDs provider can charge an administrative fee for one-time vendor services per the ODP billing requirements. This administration fee is \$25.00 or 10% per transaction, whichever is less.

### **The procedure codes, modifier, and service units for OHCDs providers One-Time Transportation Vendor Payment Services:**

Provider Type **55** - Vendor

Specialty **267** - Non-Emergency

Service Unit – Outcome Based

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W0026</b>		<b>OHCDs, Transportation Services</b>	This is an administrative service to pay the administration fee that is charged when the OHCDs provides an administrative service directly related to the delivery of a Transportation vendor service (one time vendor) for an individual who is not self-directing their services. The administrative service is billed as a monthly fee which is \$25.00 or 10% per transaction, whichever is less.  OHCDs Admin Fee/Transportation 1-time Vndr Serv

### **OHCDs One-Time Respite Camp Vendor Payments**

Provider Type **55** - Vendor

Specialties: **554** - Respite-Overnight Camp; **555** - Respite-Day Camp

Service Unit – Outcome Based

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W0026</b>	<b>U2</b>	<b>One-Time Vendor Payment for Respite Camp</b>	This is an administrative service to pay the administration fee that is charged when the OHCDs provides an administrative service directly related to the delivery of a Respite Camp vendor service (one time vendor) for an individual who is not self-directing their services. The administrative service is billed as a monthly fee which is \$25.00 or 10% per transaction, whichever is less.  OHCDs Admin Fee/Camp 1-time Vndr Serv-Overnight OHCDs Admin Fee/Camp 1-time Vndr Serv-Day

### **OHCDs One-Time Other Vendor Payments**

Provider Type **55** - Vendor

Specialties: **543** - Environmental Accessibility Adaptations; **552** - Adaptive

Appliances/Equipment; **533** - Educational Service (this should be used for Education Support services as well as registration and fees covered under Family/Caregiver Training and Support);

**553** - Habilitation Supplies

Service Unit – Vendor Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W0027</b>	<b>OHCDs, Other Vendor Services</b>	This is an administrative service to pay the administration fee that is charged when the OHCDs provides an administrative service directly related to the delivery of a vendor service (one time vendor) other than Transportation or Respite Camp for an individual who is not self-directing their services. The administrative service is billed as a monthly fee which is \$25.00 or 10% per transaction, whichever is less.  OHCDs Admin Fee/Waiver (varies by payment)

## Section 14: Waiver Services

This section contains information on each specific service reflected in Appendix C of the approved Consolidated, Community Living and P/FDS Waivers. Services that are solely diversional (i.e. related to recreation and leisure or entertainment activities) are not eligible waiver services. Membership fees are generally not allowable waiver costs unless they meet the standards in service definition for Participant-Directed Goods and Services in the Community Living and P/FDS Waivers. Entrance fees are not allowable waiver costs. Recreation services and fees may be provided under family support services with base funding or individuals can choose to use their personal funds.

In accordance with 55 Pa. Code §6100.482 (c), payment for waiver services may only be made after the service has been rendered. It is not allowable for waiver funds to be utilized to provide a deposit for services that are to be performed at some point in the future.

A \$33,000 per person per fiscal year total limit is established for all P/FDS Waiver services with the following exceptions:

- Supports Coordination and Supports Broker services
- The limit can be exceeded by \$15,000 for Advanced Supported Employment or Supported Employment services that are authorized on an individual's service plan.

A \$70,000 per person per fiscal year total limit is established for all Community Living Waiver services with the following exception:

- Supports Coordination services.

There is no similar cap associated with the Consolidated Waiver.

Individuals residing in licensed Personal Care Homes (55 Pa. Code Chapter 2600) with eight (8) or more residents with a move-in date for the Personal Care Home of July 1, 2008 or after are excluded from enrollment in the P/FDS Waiver. The move-in date applies to the Personal Care Home where the person is residing as of July 1, 2008 and may not be transferred to a new home. Waiver-funded home and community-based services may not be used to fund the services that the Personal Care Home or Domiciliary Care Home is required to provide to the individual.

In accordance with 42 CFR §441.301(b)(1)(ii), waiver services may not be furnished to individuals who are inpatients of a hospital, nursing facility or ICF/IID. Waiver services *may* be available to individuals who are residing in residential treatment facilities, correctional facilities on a temporary basis<sup>1</sup>, or drug and alcohol facilities while the individual is not in the care of the facility. The waivers may not pay for the cost of the facility, but can be used to meet the needs of the individual outside of the facility. In these instances, the primary purpose of the waiver services is reunification of the individual with his or her family, friends, and community, and to ensure the individual's health and welfare. In addition, an individual residing in one of these settings may receive waiver services to support them while visiting family during weekends or over holidays. Please note that all waiver enrollment policies apply to these individuals.

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<sup>1</sup> Individuals who are placed in a correctional facility temporarily pending full incarceration may access certain waiver services to meet their needs.

## Enhanced Communication Rates For Participants Who are Deaf

Providers can request an enhanced communications rate to employ staff fluent in Sign Language in order to adequately serve participants who are D/deaf and enrolled in the Consolidated, Community Living or P/FDS waiver. A D/deaf participant is one who, as a result of a hearing impairment:

- Is unable to understand/communicate verbal expressions commensurate with his/her intellectual disability or autism even with the use of hearing aids, OR
- Whose primary mode of communication is one of the following:
  - American Sign Language (ASL)
  - Sign language from other countries (such as Spanish)
  - Signed Exact English
  - A mixture of ASL and Signed Exact English, or
  - Visual-Gestural Communication

Providers who are interested in applying for this rate must follow the process developed as outlined in ODP Announcement 099-18, *Requesting an Enhanced Communication Rate for Services for Individuals Who Use Sign Language*, or its successor. If the provider is approved, the SC will be notified.

### Adding the Enhanced Communication Rate (U1 Modifier) to Participants' ISPs:

Once the SC has received notification that the participant is eligible for Enhanced Communication services the following steps should be taken:

- For participants enrolled in the Consolidated Waiver, SCs should follow the instructions in the January 24, 2014 *HCSIS Enhanced Communication Services (ECS) Job Aid* to allow billing for Enhanced Communication Services.
- For participants enrolled in the Community Living or P/FDS waiver, SCs will follow the instructions in the January 24, 2014 *HCSIS Enhanced Communication Services (ECS) Job Aid* to allow billing for Enhanced Communication Services. This includes checking the "Harry M Indicator" in HCSIS as described in the Job Aid.
  - Note: Checking the indicator is required based on HCSIS design. This will not make the Community Living or P/FDS Participant a Harry M Class member. Only Consolidated Waiver Participants who are deaf are Harry M Class Members.

Additionally, SCs should enter the following information in the "Other Non-Medical Evaluation" section of the ISP for Community Living or P/FDS participants (see page 7 of the Job Aid). For example:

**Evaluation Area:** Deaf Services Assessment

**Name/Type of Evaluation:** Community Living or P/FDS (as appropriate)

**Date of Evaluation:** 9/9/9999

**In Need of Enhanced Communication Services:** Yes

Questions about Enhanced Communication Rates may be directed to the ODP Special Populations Unit at [ra-odpdeafservices@pa.gov](mailto:ra-odpdeafservices@pa.gov).

### **Layout of the Service Definitions in this Manual**

Each service definition identified in this section contains:

- The service description.
- Suggestions for determining need.
- Documentation requirements.
- Service limits.

The following questions should be answered and documented in the ISP for each particular service:

- What Outcome(s) are to be achieved? How does the service support the outcome?
- What service would best support each assessed need of the individual?
- How will this service protect the individual's health and welfare?
- What formal statewide needs assessments or informal needs assessments were used to determine the assessed needs of the individual?
- What will the individual be maintaining, learning or gaining by receiving this service?
- Is there any specific training (beyond general staff orientation) and/or any specific skills needed to provide this service?
- Have the necessary variances been approved?
- What is the amount, frequency and duration of the service needed?
- How many units of service are required to attain the specific Outcome Action(s)?
- How will progress and/or success be measured and reached?
- If progress and/or success are not being demonstrated, what is the rationale for continuing the service?

### **SC documentation requirements:**

- Document answers to these questions in the ISP. If any additional questions are necessary to determine the need for a specific service, a sub-section titled "Determining the Need for Services" will appear under that service heading in this manual. If there are no additional questions, the questions listed above are sufficient to assist in the identification of the most appropriate service.

**The following represents services within the Consolidated, Community Living and P/FDS Waivers. Note: Residential Habilitation (licensed) services are available only in the Consolidated Waiver and referenced as such within the manual. Residential Habilitation (unlicensed), Life Sharing (licensed and unlicensed) and Supported Living services are available in the Consolidated and Community Living Waivers and referenced as such, including differences in service definitions, within the manual. Participant-Directed Goods and Services is only available in the Community Living and P/FDS Waivers and is referenced as such within the manual.**

### **Section 14.1: Assistive Technology**

An item, piece of equipment, or product system, whether acquired commercially off the shelf, modified, or customized, that is used to increase, maintain, or improve a participant's functioning or increase a participant's ability to exercise choice and control. Assistive Technology services include direct support in the selection, acquisition, or use of an assistive technology device, limited to:

- Purchasing, leasing, or otherwise providing for the acquisition of assistive technology devices for the participant;
- Selecting, designing, fitting, customizing, adapting, installing, maintaining, repairing, or replacing assistive technology devices. Repairs are only covered when it is more cost effective than purchasing a new device and are not covered by a warranty;
- Training or technical assistance for the participant, or where appropriate, the participant's family members, guardian, advocate, staff or authorized representative on how to use and/or care for the assistive technology;
- Extended warranties; and
- Ancillary supplies, software, and equipment necessary for the proper functioning of assistive technology devices, such as replacement batteries and materials necessary to adapt low-tech devices.

Electronic devices that are separate from independent living technology are included under Assistive Technology to meet a communication or prompting need. Examples of electronic devices include: tablets, computers and electronic communication aids. There must be documentation that the device is a cost-effective alternative to a service or piece of equipment. When multiple devices are identified as being effective to meet the participant's need, the least expensive option must be chosen. Applications for electronic devices that assist participants with a need identified are also covered for participants.

Generators are covered for the participant's residing in primary private home. Generators are not covered for any home other than the participant's primary private residence.

Independent living technology is included for participants age 16 and older. The purpose of independent living technology is to assist participants in obtaining and or maintaining their independence and safety within their home and community and decrease their need for assistance from others. Independent living technology involves the use of remote monitoring services and/or equipment in conjunction with additional technological support and services. Examples of equipment and services covered as independent living technology include: medication dispensers, door sensors, window sensors, stove sensors, water sensors, pressure pads, GPS Tracking Watches, panic pendants and the remote monitoring equipment necessary to operate the independent living technology. This service includes the costs for delivery, installation, adjustments, monthly testing, monitoring, maintenance and repairs to the independent living technology equipment.

Independent living technology is fully integrated into the participant's overall system of support. Prior to purchasing and installing remote monitoring equipment the independent living technology provider is responsible for the completion of the following:

- An evaluation plan that, at a minimum, includes: the need(s) of the participant that will be met by the technology; how the technology will ensure the participant's health, welfare and independence; the training needed to successfully utilize the technology, and the back-up plan that will be implemented should there be a problem with the technology.

- A cost benefit analysis for all options. If the participant is receiving waiver services prior to receiving independent living technology, the cost benefit analysis must show how the technology will substitute for at least an equivalent amount of waiver services within 60 calendar days after installation, training and full use by the participant has begun. If the participant is not receiving waiver services prior to receiving independent living technology, the cost benefit analysis must show how the technology is more cost effective than waiver services.
- An outcome monitoring plan that outlines the outcomes the participant is to achieve by using independent living technology, how the outcomes will be measured and the frequency that the monitoring will be completed which must be at least quarterly and more frequently if needed.
- Informing the participant, and anyone identified by the participant, of what impact the independent living technology will have on the participant's privacy. This information must be provided to the participant in a form of communication reasonably calculated to be understood by the individual. After this has been completed, the independent living technology provider must then obtain either the participant's consent in writing or the written consent of a legally responsible party for the participant. This process must be completed prior to the utilization of independent living technology and any time there is a change to the independent living devices or services.

This information will be provided to the participant and service plan team for discussion and inclusion of the technology in the service plan.

Once the independent living technology has been approved on the service plan, the independent living technology provider is responsible for the following:

- Training the participant, family, friends, neighbors or others identified by the participant and any direct service professionals that will assist the participant in the use of the equipment initially and ongoing as needed.
- Delivery of the equipment to the participant's residence and when necessary, to the room or area of the home in which the equipment will be used.
- Installation of the equipment, including assembling the equipment or parts used for the assembly of the equipment.
- Adjustments and modifications of the equipment.
- Transferring the equipment to a new home when the participant moves. This only applies when the new home is in an area served by the provider.
- Conducting monthly testing of the equipment to ensure the equipment is in good working condition and is being used by the participant. For remote monitoring devices that are in daily use there will be a means to continuously monitor the functioning of the devices and a policy or plan in place to address malfunctions.
- Maintenance and necessary repairs to the equipment. Replacement of equipment is covered when the device no longer meets the participant's needs, is obsolete, functionally inadequate, unreliable, or no longer supported by the manufacturer.
- If the assessment identifies a need for remote monitoring, ensure the remote monitoring equipment meets the following:
  - Includes an indicator that lets the participant know that the equipment is on and operating. The indicator shall be appropriate to meet the participant's needs.
  - Is designed so that it can be turned off only by the person(s) indicated in the service plan.
  - Has 99% system uptime that includes adequate redundancy.

- Has adequate redundancy that ensures critical system functions are restored within three hours of a failure. If a service is not available, the provider must be alerted within 10 minutes.
- If the assessment identifies the need for a staffed call center, a backup plan must be in place that meets the needs of the participant. In the most demanding situation that may mean that there is another call center that is part of a network. In less demanding situations, it may be an alternate location that can become operational within a time frame that meets the needs of the participant. In any event, an adequate “system down” plan must be in place.
- If a main hub is part of the installed system it should be A/C powered and include a backup battery capable of maintaining a charge to ensure the continued connectivity of the remote monitoring equipment if power loss occurs. There will be a mechanism to alert staff when a power outage occurs that provides a low battery alert, and an alert if the system goes down so that back-up support, if required, is put in place until service is restored. A main hub, if required, must be able to connect to the internet via one or more different methods; hard-wired, wireless, or cellular. The main hub must also have the ability to send via one or more different modes (text, email or audio notifications), as well as the ability, if in the assessment, to connect to an automated or consumer support call center that is staffed 24 hours a day, 7 days a week.
- Has a latency of no more than 10 minutes from when an event occurs to when the notification is sent (via text, email or audio).
- Has the capability to include environmental controls that are able to be added to, and controlled by, the installed independent living technology system if identified in the assessment.
- Have a battery life expectancy lasting six months or longer, and notification must be given if a low battery condition is detected.

All items purchased through Assistive Technology shall meet the applicable standards of manufacture, design, and installation. Items reimbursed with Waiver funds shall be in addition to any equipment or supplies provided under the MA State Plan. Excluded are those items that are not of direct medical or remedial benefit to the participant, or are primarily for a recreational or diversionary nature. Items designed for general use shall only be covered to the extent necessary to meet the participant's needs and be for the primary use of the participant. If the participant receives Behavioral Therapy or Behavioral Support Services, the Assistive Technology must be consistent with the participant's behavior support plan.

Assistive Technology devices (with the variance of independent living technology) costing \$500 or more must be recommended by an independent evaluation of the participant's assistive technology needs, including a functional evaluation of the impact of the provision of appropriate assistive technology and appropriate services to the participant on the customary environment of the participant. The independent evaluation must be conducted by a licensed physical therapist, occupational therapist, speech/language pathologist or a professional certified by Rehabilitation Engineering and Assistive Technology Society of North America (RESNA). The independent evaluator must be familiar with the specific type of technology being sought and may not be a related party to the Assistive Technology provider. The evaluation must include the development of a list of all devices, supplies, software, equipment, product systems and/or waiver services (including a combination of any of the elements listed) that would be most effective to meet the need(s) of the participant. The least expensive option from the list must be selected for inclusion on the service plan.

When Assistive Technology is utilized to meet a medical need, documentation must be obtained stating that the service is medically necessary and not covered through the MA State Plan, Medicare and/or private insurance. When Assistive Technology is covered by the MA State Plan, Medicare and/or private insurance, documentation must be obtained by the Supports Coordinator showing that limitations have been reached before the Assistive Technology can be covered through the Waiver.

**Additional Service Definition Clarification:**

- Electronic devices include tablets such as iPads and Samsung Galaxy tablets. Hearing aids for adults (participants age 21 or older) are covered as Assistive Technology.

**Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- How will the assistive technology service increase, maintain or improve the individual's functioning?
- Has the individual used an assistive technology device in the past to address a similar need?
  - If yes, what worked well with this device? What didn't work well with this device?
  - If the device being recommended is similar or the same as a device that didn't work well for the individual in the past, why do you think this device will be more successful?
- Was a recommendation obtained from an independent evaluation of the individual's assistive technology needs?
- Is the device cost effective?
  - For independent living technology, does the technology decrease the individual's need for assistance from others?
  - For electronic devices, is the device a cost-effective alternative to a service or other piece of equipment?

**Service limits:**

- A lifetime limit of \$10,000 per participant for all Assistive Technology except remote monitoring services completed as part of independent living technology. This limit may be extended by ODP using the standard ODP variance process. This lifetime limit includes:
  - A lifetime limit of \$5,000 for generators for the participant's primary residence only. The lifetime limit on generators may not be extended using the variance process and generators for a secondary residence are not available through the waiver. While generators have a separate lifetime limit, the amount spent on a generator is included in the overall Assistive Technology lifetime limit of \$10,000.
  - Electronic devices. No more than one replacement electronic device is allowed every 5 years.
  - Remote monitoring equipment utilized as part of independent living technology.
  - Repairs, warranties, ancillary supplies, software and equipment.
- An annual limit of \$5,000 for remote monitoring service completed as part of independent living technology. This limit is not included in the overall Assistive Technology lifetime limit of \$10,000.

- Assistive Technology provided to individuals living in provider owned, leased or operated settings must comply with 42 CFR 441.301(c)(4)(vi)(A) through (D) related to privacy, control of schedule and activities and access to visitors.
- The following list includes items excluded as Assistive Technology (please note this is not an exhaustive list of excluded items):
  - Durable medical equipment, as defined by 55 Pa. Code Chapter 1123 and the MA State Plan;
  - Hearing aids for children under 21 years of age as they are covered under the EPSDT benefit of Medical Assistance;
  - Air conditioning systems or units, heating systems or units, water purifiers, air purifiers, vaporizers, dehumidifiers, and humidifiers;
  - Recreational or exercise equipment; and
  - Swimming pools, hot tubs, whirlpools and whirlpool equipment, and health club memberships.

### **SC documentation requirements:**

- When Assistive Technology is utilized to meet a medical need, documentation must be obtained stating that the service is medically necessary and not covered through the MA State Plan, Medicare, and/or private insurance. When Assistive Technology is covered by the MA State Plan, Medicare, and/or private insurance, documentation must be obtained showing that limitations have been reached before the Assistive Technology can be covered through the waiver.
- Documentation of an independent evaluation and recommendation for Assistive Technology devices (with the exception of independent living technology) costing \$500 or more.
- Documentation that any electronic device requested is a cost-effective alternative to a service or piece of equipment. When multiple electronic devices are identified as being effective to meet the participant's need, the least expensive option must be chosen.
- Documentation of the individual's informed consent must be obtained prior to authorization of independent living technology devices.
- A summary of the documentation must be included in the *Service Details* page of the ISP.

### **The procedure codes and service units for Assistive Technology Services:**

#### **Assistive Technology Service:**

Provider Type **55** – Vendor

Specialty **552** – Adaptive Appliances/Equipment

#### **Adaptive Appliances/Equipment:**

Provider Type **54** – Intermediate Services Organization; **55** – Vendor

Specialties: **541** – ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice;

**552** – Adaptive Appliances/Equipment

(A provider agency functioning as an OHCDs may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their

services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.)

Service Unit – Vendor Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description HCSIS Description</b>
<b>T2028*</b> (For non-medical Assistive Technology)	<b>SE, UD</b>	<b>Assistive Technology</b>	The purchase or modification of assistive technology for increased functional involvement of individuals in their activities of daily living.  Assistive Technology--Non-medical <u>or</u> Assistive Technology - Operating Fee, Non-Medical
<b>T2029*</b> (For medical Assistive Technology)	<b>SE, UD</b>		The purchase or modification of assistive technology for increased functional involvement of individuals in their activities of daily living.  Assistive Technology--Medical <u>or</u> Assistive Technology - Operating Fee, Medical

Modifier SE must be used with each Assistive Technology procedure code as it is used to denote that this is an ODP waiver service. Modifier UD is used to denote the Operating Fee.

## **Section 14.2: Behavioral Support**

This is a direct and indirect service that includes a comprehensive assessment, the development of strategies to support the participant based upon the assessment, and the provision of interventions and training to participants, staff, parents and caregivers. Services must be required to meet the current needs of the participant, as documented and authorized in the service plan.

There are two levels of service that reflect differing levels of provider qualifications and participant needs. Participants requiring Level 2 support will have demonstrated complex needs, including regression or lack of adequate progress with Level 1 support, or be deemed at high risk for decreased stability in the absence of Level 2 support.

Behavioral Support services includes both the development of (1) an initial behavioral support plan by the Behavioral Specialist and (2) ongoing behavioral support:

1. During initial behavioral support plan development the Behavioral Specialist must:

- Conduct a comprehensive assessment of behavior and its causes and an analysis of assessment findings of the behavior(s) to be targeted so that an appropriate behavioral support plan may be designed;
- Collaborate with the participant, his or her family, and his or her service plan team for the purpose of developing a behavior support plan that must include positive practices and least restrictive interventions. The behavior support plan may not include physical, chemical or mechanical restraints as support strategies;
- Develop an individualized, comprehensive behavioral support plan consistent with the outcomes identified in the participant's service plan, within 60 days of the authorization start date of the Behavioral Support service in the service plan.
- Develop crisis intervention strategies that will identify how crisis intervention support will be available to the participant, how the Supports Coordinator and other appropriate waiver service providers will be kept informed of the precursors of the participant's challenging behavior, and the procedures/interventions that are most effective to deescalate the challenging behaviors.
- Upon completion of initial plan development, meet with the participant, the Supports Coordinator, others as appropriate, including family members, providers, and employers to explain the behavioral support plan and the crisis intervention plan to ensure all parties understand the plans.

2. Ongoing Behavioral Support: Ongoing support can occur both before and after the completion of the behavioral support plan. If the participant needs Behavioral Support before the behavioral support plan and crisis intervention plan are developed, the Supports Coordinator must document the need for support. Upon completion of the initial behavioral support plan, the Behavioral Specialist provides direct and consultative supports.

Ongoing Behavioral Support includes the following:

- Collection and evaluation of data;
- Conducting comprehensive functional assessments of presenting issues (e.g. aggression, self-injurious behavior, law offending behavior [sexual or otherwise]);

- Updating and maintenance of behavior support plans, which utilize positive strategies to support the participant, based on functional behavioral assessments;
- Development of a fading plan for restrictive interventions;
- Conducting training and support related to the implementation of behavior support plans for the participant, family members, staff and caregivers;
- Implementation of activities and strategies identified in the participant's behavior support plan, which may include providing direct behavioral support, educating the participant and supporters regarding the underlying causes/functions of behavior and modeling and/or coaching of supporters to carry out interventions;
- Monitoring implementation of the behavior support plan, and revising as needed; and
- Completion of required paperwork related to data collection, progress reporting and development of annual planning material.

Behavioral Support may be provided at the same time as Advanced Supported Employment, Supported Employment or Small Group Employment if the participant needs the service at his or her place of employment to maintain employment as documented in the service plan.

Services may be provided in the office of the Behavioral Specialist, the participant's home, or in local public community environments necessary for the provision of the Behavioral Support Services. Direct services must be provided on a one-on-one basis.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania. During temporary travel, this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

**Additional Service Definition Clarification:**

- Individuals no longer require separate delineated plans for Crisis Intervention and Restrictive Procedures. The purpose of the Behavioral Support Plan is to provide a comprehensive behavior management tool that captures all applicable behavioral planning strategies designed to support the person. Behavioral support guidelines, crisis intervention strategies, and relevant restrictive procedures approved by the Human Rights Team should all be included as components of the Behavioral Support Plan.
- The primary role of the Behavior Support Staff is to identify and transfer skills to direct support staff to aid them in more effectively supporting service recipients. Some of the goals of the Behavior Support Staff are to capture behavioral needs through formalized assessment strategies, develop and monitor data tracking documentation, identify recommended interventions, describe crisis intervention strategies to help manage dangerous or at-risk behavior, train direct support staff in the implementation of behavioral strategies, and when necessary, develop restrictive procedure components of the Behavioral Support Plan. Should the development of restrictive procedures become necessary, the restrictive components of the Behavior Support plan will need to be approved by a Human Rights Team before being implemented. The Behavioral Support Staff will take lead in presenting the Behavior Support Plan to the Human Rights team detailing the specific behavior to be addressed; an assessment of the behavior including the suspected reason for the behavior; the outcome desired; methods for facilitating positive behaviors; types of restrictive procedures that may be used and the circumstances under which the procedures may be used; a target date to achieve the outcome; the amount of time the

restrictive procedure may be applied and the name of the staff person responsible for monitoring and documenting progress with the individual plan.

### **Determining the need for services:**

- Is the participant currently receiving Level 1 Behavioral Support services?
  - If yes, is the participant making progress with the current Level 1 service to achieve outcomes? If the participant is not making progress with Level 1 services, is he or she demonstrating complex needs, including regression, or is he or she deemed at high risk for decreased stability that might signify that he or she could benefit from Level 2 Behavioral Support services?
- Does the participant have a behavioral support plan and/or crisis intervention plan?
  - If yes, what does the plan(s) recommend?

### **Service limits:**

- Behavioral Support services can only be provided to adult participants. All necessary behavioral health services for children under age 21 are covered by Medical Assistance pursuant to the EPSDT benefit.
- The direct provision of Behavioral Support may not be provided at the same time as the direct provision of Therapy services.
- Behavioral Support services do not include the provision of therapy or counseling.
- Behavioral Support may only be authorized as a discrete service for a participant receiving Residential Habilitation, Life Sharing or Supported Living services when Behavioral Support is used to support the participant to access Community Participation Support or to maintain employment when provided at the participant's place of employment.
- To the extent that any listed services are covered under the state plan, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.

### **SC documentation requirements:**

Summary of the behavioral support plan in the section of the ISP to include:

- Current need for Behavioral Support.
- The formal or informal needs assessment that establishes the need for Behavioral Support.
- A summary of the findings of the Functional Behavioral Assessment.
- Specific activities that the behavioral support professional will be completing to support the outcome of the Behavioral Support service.
- Training expectations for staff supporting the participant.
- Documentation related to direct and indirect activities:
  - Specific Crisis Intervention strategies to address dangerous or at-risk behaviors.
  - Identification of any applicable restrictive procedures approved by the Human Rights Team.
  - A summary of the fading plan for any restrictive interventions.
- If restrictive procedures are being used the SC should check the "Restrictive Procedure" box in Behavioral Support Plan screen.

\*The **Health and Safety: Crisis Support Plan** section of the ISP should be utilized to describe back-up plans for supporting the participant in the event of staffing or other site emergencies.

**The procedure code and service unit for Behavioral Support Services:**

Provider Types **51** – Home & Community Habilitation; Specialty Code **508** – Behavioral Support  
 Provider Type **11** – Mental Health/Substance Abuse; Specialty Code **420** – Autism Behavioral Specialist

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7095</b>		<b>Behavioral Supports – Level 1</b>	This service includes functional assessment; the development of strategies to support the individual based upon assessment; and the provision of training to individuals, staff, relatives, and caregivers. The individual's family members, staff, or others involved in the individual's life may be included in Behavioral Support activities.  Behavioral Supports-Level 1-Initial/Ongoing  Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Provider Types **19** – Psychologist; Specialty Code **508** – Behavioral Support,  
 Provider Type **31** – Physician; Specialty Code **339** – Psychiatry and Neurology,  
 Provider Type **51** - Home & Community Habilitation; Specialty Codes **117** - Licensed Social Worker, **559** – Behavioral Specialist Consultant

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
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<b>W8996</b>		<b>Behavioral Supports – Level 2</b>	<p>This service includes functional assessment; the development of strategies to support the individual based upon assessment; and the provision of training to individuals, staff, relatives, and caregivers. The individual's family members, staff, or others involved in the individual's life may be included in Behavior Support activities.</p> <p>Behavioral Supports-Level 2-Initial/Ongoing</p> <p>Staffing Ratio 1:1</p>
	<b>U1</b>		<p>Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.</p>

### **Section 14.3: Benefits Counseling**

Benefits Counseling is a direct service designed to inform, and answer questions from, a participant about competitive integrated employment and how and whether it will result in increased economic self-sufficiency and/or net financial benefit through the use of various work incentives. Through an accurate individualized assessment, this service provides information to the participant regarding the full array of available work incentives for essential benefit programs including Supplemental Security Income, SSDI, Medicaid, Medicare, housing subsidies, food stamps, etc.

The service also will provide information and education to the participant regarding income reporting requirements for public benefit programs, including the Social Security Administration.

Benefits Counseling provides work incentives counseling and planning services. It is provided to participants considering or seeking competitive integrated employment or career advancement or to participants who need problem solving assistance to maintain competitive integrated employment.

Benefits Counseling must be provided in a manner that supports the participant's communication style and needs, and shall meet at a minimum what is required under the Americans with Disabilities Act. This service may be provided in person or virtually based on the participant's informed choice, after the pros and cons of each method are explained to the participant.

Benefits Counseling may only be provided after Benefits Counseling services provided by a Certified Work Incentives Counselor through a Pennsylvania-based federal Work Incentives Planning and Assistance (WIPA) program were sought and it was determined and documented by the Supports Coordinator that such services were not available either because of ineligibility or because of wait lists that would result in services not being available within 30 calendar days (this is only required once per year; i.e., it must be repeated if Benefits Counseling is needed in a subsequent year).

This service can be delivered in Pennsylvania.

#### **Determining the need for services:**

- Is the participant considering or seeking competitive integrated employment or career advancement?
  - If no, does the participant need problem-solving assistance to maintain competitive integrated employment?
- Were services provided by a Certified Work Incentives Counselor through a Pennsylvania-based federal Work Incentives Planning and Assistance program sought and determined not available?

#### **Service limits:**

- Benefits Counseling may not be provided at the same time as the direct provision of any of the following: Small Group Employment; Supported Employment; job acquisition and job retention in Advanced Supported Employment; Transportation; Therapies; Education

Support; Music, Art and Equine Assisted Therapy; Consultative Nutritional Services and Communication Specialist.

- Benefits Counseling services are limited to a maximum of 40 (15-minute) units which is equal to 10 hours per participant per fiscal year for any combination of initial benefits counseling, supplementary benefits counseling when a participant is evaluating a job offer/promotion or a self-employment opportunity, or problem-solving assistance to maintain competitive integrated employment.

#### SC documentation requirements:

- Documentation that WIPA services were sought for the participant and such services were not available either because of ineligibility or because of wait lists that would result in services not being available within 30 calendar days.

#### The procedure code and service unit for Benefits Counseling:

Provider Type **53** – Employment Competitive

Specialty **530** – Job Finding

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 16-120 years old;

Base Funding: 16-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

Procedure Code	Allowable Modifiers	Service Level	Service Description HCSIS Description
<b>W1740</b>	<b>SE</b>	<b>Benefits Counseling</b>	This direct service is designed to inform a participant about competitive integrated employment and how and whether it will result in increased economic self-sufficiency and/or net financial benefit through the use of various work incentives. It will also provide information on essential benefit programs.  Benefits Counseling Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Procedure Code in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier SE must always be used for Benefits Counseling as it is used to denote that this is an ODP waiver service.

#### **Section 14.4: Communication Specialist Services**

This is a direct and indirect service that supports participants with nontraditional communication needs by determining the participant's communication needs, educating the participant and his or her caregivers on the participant's communication needs and the best way to meet those needs in their daily lives.

The service begins with a thorough review of the participant's communications needs and skills (both expressive and receptive), including but not limited to the participant's:

- Current methods of communication (how the participant communicates at the time of the assessment);
- Preferred methods of communication (how the participant prefers to communicate);
- Supplementary communication methods;
- Communication methods that have proven to be ineffective in daily communication; and
- Educating caregivers in the participant's current and preferred communication needs.

Once the review is complete, an action plan is developed. The action plan should be person-specific and created with the service plan team. The plan should include:

- The individual's best communication methods, both expressive and receptive;
- Current barriers to effective communication;
- Measurable steps to address and eliminate the barriers to expressive and receptive communication from all aspects of the person's everyday life.

At least annually, the action plan should be evaluated for effectiveness and modified if needed.

The service may include one or more of the following activities:

- Helping to establish environments that emphasize the use of visual cues and other appropriate communication methods as recommended by a Speech-Language pathologist or other qualified professional.
- Providing assistance to remove communication barriers.
- Educating SCOs, AEs, and other appropriate entities about a participant's specific needs related to communication access, legal responsibilities and cultural and linguistic needs.
- Participating in and assisting in the development of participants' service plan, as appropriate.

For the purposes of this service, "nontraditional communication" includes the use of one or more of the following communication methods:

- Sign Language, including American Sign Language; Sign Language from other countries, such as Spanish Sign Language; Signed Exact English; or a mixture of American Sign Language and signed English.
- Lip Reading.
- Visual-Gestural Communication.
- Paralinguistics.

- Haptics / Touch cues.
- Artifacts, Texture Cues, and/or Objects of Reference.
- Braille.
- Print and Symbol Systems.
- Speech, Voice and Language Interpretation.
- Eye-Gaze and Partner-Assisted Scanning.
- Other communication methods identified by the Department.

For participants who are deaf or hard of hearing, the provider must have the ability to sign at Intermediate Plus level or above as determined by the Sign Language Proficiency Interview.

This service can be delivered in Pennsylvania and states contiguous to Pennsylvania.

#### **Additional Service Definition Clarification:**

The indirect service includes those components listed as allowable in the service definition where the Communication Specialist is not in the same service location as the individual. This includes activities such as reviewing the individual's communication needs and educating SCOs, AEs and other appropriate entities about an individual's specific needs.

Educating SCOs, AEs and others does not always need to be done in person and may be done virtually or over the phone.

#### **Determining the need for services**

- Does the participant primarily communicate in ways other than speaking and hearing words?
- Would the participant's communication (expressively and receptively) be improved if those providing support (whether unpaid or paid) were educated about the participant's unique communication needs?
- Is the participant experiencing any communication barriers (expressively or receptively) that this service could be used to help remove?
- Does the participant use behaviors to communicate?
- Does the participant require special considerations for communication due to hearing or vision loss?
- Did the participant have an assessment completed that identified a communication need?
- Did the participant have a Communication Assessment or any other assessment or professional recommendation for Communication Specialist or similar services?

#### **Service limits:**

- This service does not include any of the following activities:
  - Preventing, screening, identifying, assessing, or treating known or suspected disorders relating to speech, feeding and swallowing, or communication disorders.
  - Screening participants for speech, language, voice, or swallowing disorders.
  - Teaching participants, families and other caregivers speech reading and speech and language interventions.

- Teaching participants, families and other caregivers and other communication partners how to use prosthetic and adaptive devices for speaking and swallowing.
  - Using instrumental technology to provide nonmedical diagnosis, nonmedical treatment and nonmedical services for disorders of communication, voice and swallowing.
  - Teaching American Sign Language (ASL) unless the “sign” that is being taught is participant-specific. ASL lessons are not included in the service.
- The rates for the following services include Communication Specialist services: Residential Habilitation, Life Sharing and Supported Living. As such, participants who are authorized to receive one of these services may only be authorized to receive Communication Specialist services as a discrete service when it is used to support the participant during Community Participation Support.
  - The direct portion of Communication Specialist services cannot be provided at the same time as the direct portion of the following: Benefits Counseling and Consultative Nutritional services.
  - To the extent that any listed services are covered under the state plan, including EPSDT, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.
  - Communication Specialist services are limited to a maximum of 160 (15-minute) units, which is equal to 40 hours per participant per fiscal year. There is no limit if the service is provided as part of the Residential Habilitation, Life Sharing, or Supported Living rate.

#### **SC documentation requirements:**

- The need for Communication Specialist services should be documented in the “Communications” section of the ISP.

#### **The procedure code and service unit for Communication Specialist Services:**

Provider Type **58** – Communication Services

Specialty **582** - Communication Specialist; **583** - Communication Specialist Deaf & Hard-of-Hearing

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>T1013</b>		<b>Communication Specialist</b>	This service determines the participant’s communication needs and educates the participant and his or her caregivers on those needs and the best way to meet them in his or her daily life.  Communication Specialist

			Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

## **Section 14.5: Community Participation Support**

Community Participation Support provides opportunities and support for community inclusion and building interest in and developing skills and potential for competitive integrated employment. Services should result in active, valued participation in a broad range of integrated activities that build on the participant's interests, preferences, gifts, and strengths while reflecting his or her desired outcomes related to employment, community involvement and membership. To achieve this, each participant must be offered opportunities and needed support to participate in community activities that are consistent with the individual's preferences, choices and interests.

Community Participation Support is intended to flexibly wrap around or otherwise support community life secondary to employment as a primary goal. This service involves participation in integrated community settings, in activities that involve persons without disabilities who are not paid or unpaid caregivers.

This service is expected to result in the participant developing and sustaining a range of valued social roles and relationships; building resources and experiences in the family and community; increasing independence; increasing potential for employment; and experiencing meaningful community participation and inclusion. Activities include the following supports for:

- Developing skills and competencies necessary to pursue competitive integrated employment;
- Participating in community activities, organizations, groups, associations or clubs to develop social networks;
- Identifying and participating in activities that provide purpose and responsibility;
- Fine and gross motor development and mobility;
- Participating in community opportunities related to the development of hobbies or leisure/cultural interests or to promote personal health and wellness (e.g. yoga class, hiking group, walking group, etc.);
- Participating in community adult learning opportunities;
- Participating in volunteer opportunities;
- Opportunities focused on training and education for self-determination and self-advocacy;
- Learning to navigate the local community, including learning to use public and/or private transportation and other transportation options available in the local area;
- Developing and/or maintaining social networks and reciprocal relationships with members of the broader community (e.g. neighbors, coworkers, and other community members who do not have disabilities and who are not paid or unpaid caregivers) through natural opportunities and invitations that may occur;
- Assisting participants, caregivers, and providers with identifying and utilizing supports not funded through the waiver that are available from community service organizations, such as churches, schools, colleges/universities and other postsecondary institutions, libraries, neighborhood associations, clubs, recreational entities, businesses and community organizations focused on exchange of services (e.g. time banks); and
- Assisting participants and caregivers with providing mutual support to one another (through service/support exchange) and contributing to others in the community.

The service includes planning and coordination for:

- Developing skills and competencies necessary to pursue competitive integrated employment;

- Promoting a spirit of personal reliance and contribution, mutual support and community connection;
- Developing social networks and connections within local communities;
- Emphasizing, promoting and coordinating the use of unpaid supports to address participant and family needs in addition to paid services; and
- Planning and coordinating a participant's daily/weekly schedule for Community Participation Supports.

Support provided may include development of a comprehensive analysis of the participant in relation to the following:

- Strongest interests and personal preferences.
- Skills, strengths, and other contributions likely to be valuable to employers or the community.
- Conditions necessary for successful community inclusion and/or competitive integrated employment.

For participants age 18 and older, fading of the service and less dependence on paid support for ongoing participation in community activities and relationships is expected. Fading strategies, similar to those used in Supported Employment, should be utilized whenever appropriate. Effective 10/1/19, on-call and remote support is covered for participants for whom the provider has coordinated community activities in which the participant is supported through unpaid supports and/or as a component of the fading strategy where on-call and remote support is needed as a back-up. The provider may bill for on-call and remote support when all of the following conditions are met:

- The activity was coordinated by the provider of Community Participation Support services,
- The participant does not receive Residential Habilitation services,
- The participant requires on-call or remote support for health and safety reasons,
- The provider must inform the participant, and anyone identified by the participant, of what impact the on-call and remote support will have on the participant's privacy (if any). Effective communication must be provided, including use of any necessary auxiliary aids or services, to ensure that the participant can receive and convey information consistent with the requirements of the Americans with Disabilities Act. If there are impacts on the participant's privacy, the provider must then obtain either the participant's consent in writing or the written consent of a legally responsible party for the participant. This process must be completed prior to the utilization of on-call and remote support, and
- Remote support is available immediately to the participant and on-call staff can be available for direct service within a maximum of 30 minutes (less if agreed upon by the service plan team).

Only activities completed by direct service professionals as specified in the service definition are compensable as Community Participation Supports services.

Personal care assistance is included as a component of Community Participation Support but does not comprise the entirety of the service. The service also includes transportation as an integral component of the service; for example, transportation to a community activity. The Community Participation Support provider is not, however, responsible for transportation to and from a participant's home.

This service may be provided in the following settings:

- Community locations – Locations must be non-disability specific and meet all federal standards for home and community-based settings. When provided in community locations, this service cannot take place in licensed facilities, or any type of facility owned, leased or operated by a provider of other ODP services. Services are provided in a variety of integrated community locations that offer opportunities for the participant to achieve his or her personally identified goals for developing employment skills, community inclusion, involvement, exploration, and for developing and sustaining a network of positive relationships. A maximum of 3 participants can be served simultaneously by any one provider at a community location at any one time.
- Community hubs – These settings primarily serve as a gathering place prior to and after community activities. Participants' time will be largely spent outside of the community hub, engaged in community activities.

Community hubs should be non-disability specific, accessible, provide shelter in inclement weather, and be locations used by the general public. Community hubs could be locations that are focused on a specialty area of interest for participant(s) served (for example, employment interest area, volunteer site, related to arts, outdoors, music or sports).

A community hub could be a private home but is not the home of support staff. The participant's home may only serve as a hub on an occasional and incidental basis. The use of a community hub must be driven by the interest of the participant(s) served. A maximum of 6 participants can be served by any one provider at any one point in time in a community hub.

- Adult Training Facilities (subject to licensure under 55 Pa. Code Chapter 2380) – Community Participation Support may be provided in Adult Training Facilities which meet all federal standards for home and community-based settings.
- Older Adult Daily Living Centers (subject to licensure under 6 Pa. Code Chapter 11) – For participants 60 years or older, or participants with dementia or dementia-related conditions, Community Participation Support may be provided in Older Adult Daily Living Centers which meet all federal standards for home and community-based settings. Participants under 60 years of age receiving services in an Older Adult Daily Living Center prior to 7/1/17 may continue to receive services in these settings.
- Vocational Facilities (subject to licensure under 55 Pa. Code Chapter 2390) – Community Participation Support may be used to provide prevocational services in Vocational Facilities. Facilities must meet all federal standards for home and community-based settings.

Facility-based prevocational services focus on the development of competitive worker traits through work as the primary training method. The service may be provided as:

- Occupational training used to teach skills for a specific occupation in the competitive labor market, and includes personal and work adjustment training designed to develop appropriate worker traits and teach understanding work environment expectations.
- Work related evaluation involving use of planned activities, systematic observation, and testing to formally assess the participant, including identification of service needs, potential for employment, and employment objectives.

This service may be used to provide prevocational services in facilities and community locations. All participants receiving prevocational services must have a competitive integrated employment outcome included in their service plan. There must be documentation in the service plan regarding how and when the provision of prevocational services is expected to lead to competitive integrated employment.

Prevocational services in community locations or community hubs assist them in vocational skill development, which means developing basic skills and competencies necessary for a participant to pursue competitive integrated employment. This includes the development and implementation of a preliminary plan for employment that identifies and addresses the participant's basic work interests, as well as skills and gaps in skills for his or her work interests. It may include situational assessments, which means spending time at an employer's place of business to explore vocational interests and develop vocational skills. Vocational skill development also includes identifying available transportation to help the participant get to and from work and teaching the participant and his or her family (as appropriate) about basic financial opportunities and benefits information for a move into competitive integrated employment.

Participants who are under the age of 25 may not receive prevocational services that pay subminimum wage unless they have been referred to OVR and OVR has closed the case or the participant has been determined ineligible for OVR services.

Participants who are under the age of 25 are not required to be referred to OVR when they will be working on skill development and/or participating in activities for which they will not receive subminimum wage. It is not allowable, however, for these prevocational activities to occur in a licensed vocational facility unless OVR has closed their case or they have been determined ineligible for OVR services.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

### **Additional Service Definition Clarification:**

#### ***Using Multiple Procedure Codes***

When making any changes to the Community Participation Support procedure codes starting July 1, 2019, ISP teams should consider including more than one procedure code in the ISP. Circumstances that would require multiple procedure codes include but are not limited to:

- Different staffing ratios based on activity and need. For example, the individual typically will be supported at a 1:2 or 1:3 ratio in community locations but there is an activity that occurs one time each week for which the individual will need 1:1.

**To minimize the number of critical revisions necessary to Individual Support Plans, Supports Coordinators may calculate additional units of service for each procedure code in order to provide a cushion (up to approximately 10% over the expected number of**

**units for each procedure code). Total authorizations may not exceed the P/FDS and Community Living Waiver caps or an approved P/FDS individual cap exception.**

More guidance about using multiple procedure codes can be found in the following ODP communications:

- 19-107 – Version 3 of the Community Participation Support Question and Answer Document
- 19-098 – Clarification on Identification of Staffing Ratios for Facility Time in Community Participation Support Service

### ***Prevocational Services for Participants Under the Age of 25***

Participants who are under the age of 25 may not receive prevocational services that pay subminimum wage unless they have been referred to OVR and OVR has closed the case except if the case was closed for one of the reasons noted in the current OVR Referral Process bulletin, or the individual has been determined ineligible for OVR services. This includes prevocational services that pay subminimum wage in:

- A licensed Vocational Facility (55 Pa. Code Chapter 2390).
- A licensed Adult Training Facility (55 Pa. Code Chapter 2380).
- A Community Hub.
- A Community Location.
- Any service location that holds a 14c certificate.

SCs should consult Bulletin 00-19-01, *OVR Referrals for ODP Employment Related Services*, or its successor, and the waivers for the most current guidance for individuals under 25 seeking waiver employment services.

### ***Intensive Staffing Determinations***

A variance form (DP 1086) must be completed and approved for the individual to receive the following levels of support:

- 1:1 enhanced staffing, 2:1 staffing and/or 2:1 enhanced staffing for Community Participation Support.

The need for these enhanced levels of service must be reviewed every 6 months and this variance form must be completed based upon that review. Please note: Enhanced levels of service are not available for Community Participation Support services provided in Older Adult Daily Living Centers.

If a participant requires supplemental staffing during this service, the Community Participation Support provider is responsible to provide the staffing.

### **Determining the need for services:**

- Does the participant have an outcome for employment?
- Is the participant interested in developing skills and competencies necessary to pursue competitive integrated employment?

- Is the participant interested in developing skills and competencies necessary to become part of their community?
- Is the participant interested in pursuing activities that support health and wellness, lifelong learning, self-advocacy or greater connection to his/her community?
- To determine the ability for a participant to receive enhanced and 2:1 levels of Community Participation Support, the following decision tree shall be applied:

**Question 1: Does the participant have a medical or behavioral support need?**

- If NO - STOP. Enhanced and 2:1 levels of service are not supported for the participant
- If YES - Proceed to Question 2 for enhanced levels of service. Proceed to Question 3 for the non-enhanced 2:1 level of service.

**Question 2 (this question only applies for enhanced levels of service) - Is the participant's medical or behavioral need:**

1) Severe enough that it cannot be met through the service definition as written, i.e. requires specific behavioral or medical support to access the service as written in the service definition specifications?

AND / OR

2) Of a nature that it must be met by someone with one of the licenses, certificates, or degrees specified in the qualifications?

- If NO – STOP. Enhanced levels of service are not supported for the participant.
- If YES –Proceed to Question 3.

**Question 3 - Was a Waiver Variance Form completed and approved for Enhanced Levels of Service in accordance with ODP's Variance Process?**

- If NO – Enhanced and 2:1 levels of service may not be added to the ISP.
- If YES – Enhanced and 2:1 levels of service may be added to the ISP.

**Service limits:**

- Handicapped employment as defined in Title 55, Chapter 2390 may not be funded through the Waiver.
- Prevocational services may not be funded through the Waiver if they are available to participants through program funding under the IDEA. Documentation must be maintained in the participant's file to satisfy assurances that the service is not otherwise available through a program funded under the IDEA.
- The following limits will be phased in regarding the amount of time a participant can receive Community Participation Support services in a licensed Adult Training Facility or a licensed Vocational Facility:
  - Beginning July 1, 2019, a participant may not receive Community Participation Support services in a licensed Adult Training Facility or a licensed Vocational Facility for more than 75 percent of his or her support time, on average, per month.
- A variance to the limitation on time in facility settings may be granted, as determined by the service plan team, if one of the following circumstances apply:
  - The participant receives fewer than 12 hours (48 units) per week of Community Participation Support by the provider;
  - The participant has current medical needs that limit the amount of time the person can safely spend in the community;
  - The participant has an injury, illness, behaviors or change in mental health status that result in a risk to him or herself or others; or
  - The participant declines the option to spend time in the community having been provided with opportunities to do so consistent with his or her preferences, choices and interests.
- A participant may be authorized for a maximum of 40 units of on-call and remote support per week. The cost of purchasing devices, maintenance of the devices and service fees may not be billed under this service definition.
- Community Participation Support services may not be provided at the same time as the direct provision of any of the following: Companion; In-Home And Community Supports; Small Group Employment; job finding or development and job coaching and support in Supported Employment; job acquisition and job retention in Advanced Supported Employment; Transportation; 15-minute unit Respite; Therapies; Education Support; Shift Nursing; Music, Art and Equine Assisted Therapy and Consultative Nutritional Services.
- Community Participation Support may not be provided in a licensed Adult Training Facility or a licensed Vocational Facility that is newly funded on or after January 1, 2020 and serves more than 25 individuals in the facility at any one time including individuals funded through any source.
- Starting January 1, 2022, Community Participation Support services may not be provided in any facility required to hold a 2380 or 2390 license that serves more than 150 individuals at any one time including individuals funded through any source.
- This service is generally provided between 8am to 5pm weekdays but is not restricted to those hours of the day. Alterations from typical day/work hours should be based on the participant's natural rhythms and/or preferred activities (not for convenience of a provider).

- Consolidated Waiver only – A participant may be authorized for a maximum of 14 hours per day of the following services (whether authorized alone or in combination with one another):
  - In-Home and Community Support.
  - Companion.
  - Community Participation Support.

A variance may be made to the 14 hour per day limitation in accordance with ODP policy when the participant has a physical health, mental health or behavioral need that requires services be provided more than 14 hours per day.

- When Community Participation Support services are not provided with any other employment service (Small Group Employment, Supported Employment or Advanced Supported Employment) and the participant is not competitively employed, the hours of authorized Community Participation Support cannot exceed 40 hours (160 15-minute units) per participant per calendar week.
- When the participant is competitively employed, the total number of hours for Community Participation Support, Supported Employment and/or Small Group Employment (whether utilized alone or in conjunction with one another) cannot exceed 50 hours (200 15-minute units) per participant per calendar week.
- Enhanced services by a licensed nurse (1:1 Enhanced or 2:1 Enhanced, where one of the staff members is a nurse) can only be provided to adult participants (participants age 21 and older). All medically necessary nursing services for children under age 21 are covered through Medical Assistance pursuant to the EPSDT benefit.

#### SC documentation requirements:

- Prevocational services may be provided without referring a participant to OVR unless the participant is under the age of 25. When a participant is under the age of 25, prevocational services may only be authorized as a new service in the service plan when documentation has been obtained that OVR has closed the participant's case or that the participant has been determined ineligible for OVR services in accordance with the current OVR Referral Process bulletin.
- Individuals receiving prevocational services must have an employment outcome included in their ISP. Because these individuals have an employment outcome, the answer to "Does this consumer have employment/volunteer goals?" in the Employment/Volunteer Information section of their ISP should be "yes".
- The SC shall document the date that a referral to OVR was made in the Additional Comments box of the Educational/Vocational Information section of the ISP.
- When OVR is operating under a closure of the order of selection, the SC shall follow documentation requirements as enumerated in Bulletin 00-19-02, *OVR Referrals During a Period when OVR's Order of Selection is Closed*, or its successor.
- When the ISP team determines that an individual cannot or chooses not to engage in community activities at least 25 percent of his or her support time on average per month, a variance form (DP 1086) must be completed, per Bulletin 00-18-06 or its successor. A variance can be granted for up to one year. A summary of the conclusion and future efforts to offer opportunities for community experience as appropriate will also be included in the ISP.

**The procedure codes, modifiers, and service units for Community Participation Support:**

Provider Type **51** – Home & Community Habilitation  
 Specialty **510** – Home & Community Habilitation; **514** – Adult Training-2380; **515** –  
 Prevocational-2390; **525** – Community Integration

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 18-120 years old;

Base Funding: 18-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description HCSIS Description</b>
<b>Community Participation Support (CPS) Community Procedure Codes</b>			
<b>W9351</b>		Level 2 or Basic	CPS provided in community settings at a staff-to-individual ratio of 1:2 or 1:3. CPS Community 1:2 or 1:3
<b>W9352</b>		Level 1	CPS provided in community settings at a staff-to-individual ratio of 2:3. CPS Community 2:3
<b>W5996</b>		Level 3	CPS provided in community settings at a staff-to-individual ratio of 1:1. CPS Community 1:1
<b>W5997</b>	<b>TD or TE</b>	Level 3 Enhanced	CPS provided in community settings at an enhanced staff-to-individual ratio of 1:1. CPS Community 1:1 Enhanced or CPS Community 1:1 Enhcd LPN/RN
<b>W5993</b>		Level 4	CPS provided in community settings at a staff-to-individual ratio of 2:1. CPS Community with 2:1
<b>W5994</b>	<b>TE or TD</b>	Level 4 Enhanced	CPS provided in community settings at an enhanced staff-to-individual ratio of 2:1. CPS Community 2:1 Enhanced or CPS Community 2:1 Enhcd LPN/RN
<b>CPS Facility Procedure Codes</b>			
<b>W7222</b>		Basic	CPS provided in facility settings at a staff-to-individual ratio of 1:11 to 1:15. CPS Facility 1:11 to 1:15

<b>W7223</b>		Level 1	CPS provided in facility settings at a staff-to-individual ratio of 1:7 to 1:10. CPS Facility 1:7 to 1:10
<b>W7226</b>		Level 2	CPS provided in facility settings at a staff-to-individual ratio of 1:4 to 1:6. CPS Facility 1:4 to 1:6
<b>W7224</b>		Level 3	CPS provided in facility settings at a staff-to-individual ratio of 1:2 to 1:3. CPS Facility 1:2 to 1:3
<b>W7244</b>		Level 4	CPS provided in facility settings at a staff-to-individual ratio of 1:1. CPS Facility 1:1
<b>W9353</b>	<b>TD or TE</b>	Level 4 Enhanced	CPS provided in community settings at an enhanced staff-to-individual ratio of 1:1. CPS Facility 1:1 Enhcd or CPS Facility 1:1 Enhcd LPN/RN
<b>W7269</b>		Level 5	CPS provided in community settings at a staff-to-individual ratio of 2:1. CPS Facility 2:1
<b>W9356</b>	<b>TD or TE</b>	Level 5 Enhanced	CPS provided in community settings at an enhanced staff-to-individual ratio of 2:1. CPS Community 2:1 Enhcd or CPS Community 2:1 Enhcd LPN/RN
<b>CPS Community On-Call and Remote Support Code</b>			
<b>W9400</b>			On-call and remote support needed to fade direct support to individuals participating in community activities. CPS:Community OnCall/Remote Support

### Modifiers for Community Participation Support

TD – Used to identify services rendered by a RN

TE – Used to identify services rendered by an LPN

U1 - Utilized with the appropriate procedure code to allow providers, who are approved by the Department, to receive the Enhanced Communication Services Rate.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – TD or TE

2<sup>nd</sup> - U1

**The procedure code and service unit for Community Participation Support in an Older Adult Daily Living Center:**

Provider Type **51** - Home & Community Habilitation  
Specialty **410** - Adult Day Services

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 18-120 years old;

Base Funding: 18-120 years old

Allowable Place of Service: 99-Other (Community)

Procedure Code	Allowable Modifier	Service Level	Service Description HCSIS Description
<b>W7094</b>		<b>Community Participation Support – Older Adult Daily Living Centers (6, Pa. Code Chapter 11)</b>	This service is made available to participants in licensed Older Adult Daily Living Centers. Licen Day Hab., Older Adult Daily Living Centers
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the participant has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

## **Section 14.6: Companion Services**

Companion services are direct services provided to participants age 18 and older who live in private homes for the limited purposes of providing supervision or assistance that is designed to ensure the participant's health, safety and welfare or to perform activities of daily living for the participant. This service is intended to assist the participant to participate more meaningfully in home and community life. This service may be provided in home and community settings, including the participant's competitive employment work place. To the extent that Companion services are provided in community settings, the settings must be inclusive rather than segregated. Companion services shall not be provided in a licensed setting, unlicensed residential setting or camp. This does not preclude this service from being utilized to assist a participant to volunteer in a nursing facility or hospital or occasionally visit a friend or family member in a licensed setting or unlicensed residential setting.

Companion services are used in lieu of In-Home and Community Support when a habilitative outcome is not appropriate or feasible (i.e. when the professional providing the service mainly does activities for the participant or supervises the participant versus assisting the participant to learn, enhance or maintain a skill). While Companion services are mainly used to provide supervision and assist with socialization, as an incidental part of the services companions may supervise, assist or even perform activities for a participant that include: grooming, household care, meal preparation and planning, ambulating, medication administration in accordance with regulatory guidance.

This service can be used for hours when the participant is sleeping and needs supervision and/or assistance with tasks that do not require continual assistance, or non-habilitative care to protect the safety of the participant. For example, Companion services can be used during overnight hours for a participant who lives on their own but does not have the ability to safely evacuate in the event of an emergency or solely needs routine monitoring for conditions other than post-surgical care and convulsive (grand mal) epilepsy. Effective January 1, 2020, caregivers with whom the participant lives may not provide Companion services when the participant has been sleeping 5 or more hours and does not require direct care or supervision during those asleep hours. When direct care or supervision is provided, the caregiver may be reimbursed. This service can also be used to supervise participants during socialization or non-habilitative activities when necessary to ensure the participant's safety.

Transportation necessary to enable participation in community activities outside of the home in accordance with the participant's service plan that is 30 miles or less per day is included in the rate paid to agency providers. Mileage that is needed to enable participation in community activities that exceeds 30 miles on any given day should be authorized on the service plan and billed by the agency as Transportation Mile. Transportation is not included in the wage range for Companion services provided by Support Service Professionals in participant directed services. As such, Transportation services should be authorized and billed as a discrete service. When Transportation services are authorized and billed as a discrete service (regardless of whether the services are delivered by an agency or Support Service Professional) Companion is compensable at the same time for the supervision, assistance and/or care provided to the participant during transportation. Companion services cannot be used to solely transport a participant as this would be considered a Transportation service available in the waiver. The participant must have a need for supervision, assistance or the performance of tasks on his or her behalf while in the home and community locations for which transportation is necessary.

Companion may be provided at the same time as Supported Employment and Advanced Supported Employment for the purpose of supporting the participant with personal care needs that cannot, or would be inappropriate to, be provided with the support from coworkers or others and is outside the scope of the Supported Employment or Advanced Supported Employment service. Documentation must be maintained in the service plan about the methods that were considered and/or tried to support the personal care needs at the job site before it was determined that Companion was necessary to enable the participant to sustain competitive integrated employment.

Companion can only be provided to participants age 18 and older. All medically necessary personal care is covered through Medical Assistance for participants aged 18 to 20 pursuant to the EPSDT benefit and cannot be provided as a part of Companion services. Medically necessary personal care can only be covered for participants aged 21 and older as a part of Companion services.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania. During temporary travel, this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

#### **Determining the need for services:**

- Is the participant aged 18 to 20? If yes, does the participant require medically necessary personal care?
- Does the participant need supervision or assistance to ensure his or her health, safety and welfare or a direct support professional to perform activities of daily living for him or her?
- Are Companion services to be used during overnight hours when the participant is sleeping? If so, does the participant require continual assistance or non-habilitative care to protect his or her safety? Is the direct support professional rendering the overnight Companion service to a person with whom the participant lives? If yes, what direct care or supervision does the participant need while sleeping 5 or more hours?
- Does the participant require support with personal care needs while working in a job that meets the definition of competitive integrated employment? Can these supports be reasonably and appropriately met by coworkers within the workplace?

#### **Service limits:**

- Consolidated Waiver Only - A participant may be authorized for a maximum of 14 hours per day of the following services (whether authorized alone or in combination with one another):
  - In-Home and Community Support.
  - Companion.
  - Community Participation Support.

A variance may be made to the 14 hour per day limitation in accordance with ODP policy when the participant has a physical health, mental health or behavioral need that requires services be provided more than 14 hours per day.

- Companion services that are authorized on a service plan may be provided by relatives/legal guardians of the participant. When this occurs, any one relative or legal

guardian may provide a maximum of 40 hours per week of authorized Companion or a combination of Companion and In-Home and Community Support (when both services are authorized in the service plan). Further, when multiple relatives/legal guardians provide the service(s) each participant may receive no more than 60 hours per week of authorized Companion or a combination of Companion and In-Home and Community Support (when both services are authorized in the service plan) from all relatives/legal guardians. An exception may be made to the limitation on the number of hours of In-Home and Community Support and Companion provided by relatives/legal guardians at the discretion of the employer when there is an emergency or an unplanned departure of a regularly scheduled worker for up to 90 calendar days in any fiscal year.

- Participants authorized to receive Residential Habilitation, Life Sharing or Supported Living may not be authorized to receive Companion services.
- Companion services may not be provided at the same time as any of the following: Small Group Employment, In-Home and Community Supports, Respite (15 minute unit or Day), Shift Nursing and the direct portion of Community Participation Support.

#### **SC documentation requirements:**

- The Outcomes section of the ISP must include supervision, assistance and/or care the companion will be providing and why it is necessary. This includes documentation regarding whether the direct support professional will be awake or asleep overnight and how the asleep direct support professional will assure the individual's health and safety during those overnight hours. If the direct support professional lives with the participant, Companion can only be authorized for direct care and supervision provided when the participant sleeps 5 or more hours.

#### **The procedure codes, modifiers, and service units for Companion services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **363** - Companion Service

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Provider type 51 may submit a claim for all the procedure codes listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541 for the asterisked procedure code below).

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 18-120 years old

Base Funding: 18-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W1724</b>		Basic	The provision of the service at a staff-to-individual ratio of 1:3.

			Companion Services (Basic Staff Support)
<b>W1725</b>		Level 1	The provision of the service at a staff-to-individual ratio of 1:2. Companion Services (Level 1)
<b>W1726*</b>		Level 2	The provision of the service at a staff-to-individual ratio of 1:1. Companion Services (Level 2)
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Procedure Code marked with an asterisk in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Provider Type **54** - Intermediate Service Organization  
Specialty **540** - ISO-Agency with Choice  
Service Unit -15 minutes

<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>U4</b>  Only used with W1726	No benefit allowance	This modifier is to be used with the noted procedure code by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage. Companion Services (Level 2) - U4
<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Agency With Choice modifier in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

**Section 14.7: Consultative Nutritional Services**

Consultative Nutritional Services are direct and indirect services that assist unpaid caregivers and/or paid support staff in carrying out participant treatment/service plan that are not covered by the Medicaid State Plan, and are necessary to improve or sustain the participant's health status and improve the participant's independence and inclusion in their community. The service may include assessment, the development of a home treatment/service plan, training and technical assistance to carry out the plan and monitoring of the participant and the provider in the implementation of the plan. This service may be delivered in the participant's home or in the community as described in the service plan. This service requires a recommendation by a physician.

Training family or other caregivers and development of a home program for caregivers to implement the recommendations of the Licensed Dietitian-Nutritionist are included in the provision of this service.

Consultative Nutritional Services can only be provided to adult participants. All medically necessary Consultative Nutritional Services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Consultative Nutritional Services may only be funded for adult participants through the Waiver if documentation is secured by the Supports Coordinator that shows the service is medically necessary and either not covered by the participant's insurance or insurance limits have been reached. A participant's insurance includes Medical Assistance (MA), Medicare and/or private insurance. To the extent that any listed services are covered under the state plan, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

**Determining the need for services:**

- Has this service been recommended by a physician?
- Does the team have concerns about the participant's health related to malnutrition, obesity, diabetes or other conditions? If so, has the participant's physician been consulted?
- Is a support plan, including training and technical assistance around the plan, needed to meet the individual's nutritional needs?

**Service limits:**

- Consultative Nutritional Services are limited to 48 (15-minute) units which is equal to 12 hours per participant per fiscal year.
- This service does not include the purchase of food.
- Participants authorized to receive Residential Habilitation, Life Sharing or Supported Living services may not be authorized to receive Consultative Nutritional Services.
- This service cannot be provided in a provider owned, leased, rented or operated licensed or unlicensed setting (this includes hospitals and nursing homes).
- Direct Consultative Nutritional Services may not be provided at the same time as the direct provision of any of the following: Benefits Counseling; Supported Employment;

Small Group Employment; Community Participation Support; 15-minute unit Respite; Shift Nursing; Communication Specialist; Transportation; Therapies; Music, Art and Equine Assisted Therapy, and Education Support.

**✍ SC documentation requirements:**

- Documentation of the physician's recommendation for the service.
- Documentation of the treatment plan which should contain the following:
  - The goal(s) for the Consultative Nutritional Services;
  - The anticipated date by which the goals will be achieved; and
  - The family and/or caregivers who will be trained in implementing the recommendations in the treatment plan.

**The procedure code and service units for Consultative Nutritional Services:**

Provider Type **23** - Nutritionist

Specialty **230** - Registered Nutritionist

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21 - 120 years old;

Base Funding: 21 - 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description HCSIS Description</b>
<b>S9470</b>	<b>SE</b>	Consultative Nutritional Services	This direct and indirect service is designed to assist unpaid caregivers and/or paid support staff in carrying out a participant's treatment/service plan with the goal of improving or sustaining the participant's health status and improve the participant's independence and inclusion in their community.  Consultative Nutritional Services
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Procedure Code in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

SE modifier - Must always be used for Consultative Nutritional Services as it is used to denote that this is an ODP waiver service.

**Section 14.8: Education Support Services**

Education Support consists of education and related services as defined in Sections (22) and (25) of the Individuals with Disabilities Education Act (IDEA) to the extent that they are not available under a program funded by IDEA or available for funding by the Office of Vocational Rehabilitation (OVR). To receive Education Support services through the waiver, students attending eligible institutions and who are eligible for Federal Student Aid and/or PA State Grant funding must apply. Education Support Services are limited to payment for the following:

- Tuition for adult education classes offered by a college, community college, technical school or university (institution of postsecondary education). This includes classes for which a participant receives credit, classes that a participant audits, classes that support paid or unpaid internships, remedial classes and comprehensive transition programs. At least 75% of the time the participant spends on campus must be integrated with the general student population.
- General fees charged to all students. This includes but is not limited to fees such as technology fees, student facilities fees, university services fees and lab fees.
- On campus peer support. This is support provided by the institution of postsecondary education's staff (they cannot be contracted staff) or other students attending the institution of postsecondary education. The support assists the participant to learn roles or tasks that are related to the campus environment such as homework assistance, interpersonal skills and residential hall independent living skills.
- Classes (one communication education professional and one participant or a group of no more than four learners taught collectively by a communication education professional) to teach participants who are deaf American Sign Language, Visual Gestural Communication or another form of communication. To receive this type of education, participants must be age 21 and older or under 21 years of age with a high school diploma. The participant must also have been assessed as benefitting from learning American Sign Language or another form of communication.
- Adult education or tutoring program for reading or math instruction.

Participants authorized for Education Support services must have an employment outcome or an outcome related to skill attainment or development which is documented in the service plan and is related to the Education Support need.

This service can be delivered in Pennsylvania, Washington DC and Virginia as well as in states contiguous to Pennsylvania.

**Additional Service Definition Clarification:***Student Aid and Other Resources for Payment*

Participants wanting to obtain a certification or a degree from an educational institution must apply for Federal Student Aid through the Free Application for Federal Student Aid (FAFSA). An online or hard copy of the application can be obtained at <https://fafsa.ed.gov/>. Federal Student Aid is responsible for managing the student financial assistance programs under the Higher Education Act of 1965. The programs provide grants, loans, and work-study funds to students attending college or career schools. The participant does not need to apply for FAFSA for the following reasons:

1. The participant does not have a high school diploma or a General Educational Development (GED), unless the participant is applying for a comprehensive transition and postsecondary (CTP) program.
2. The participant is not pursuing a degree or a certification.

To complete the FAFSA requirement for the Educational Support services, the participant must obtain the Student Aid Report (SAR) from FAFSA. If the participant is awarded any grants (financial aid that does not need to be repaid) such as the Pell Grant or the Federal Supplemental Educational Opportunity Grant, the participant must accept that award to pay for his or her post-secondary education costs. The participant can choose to accept or decline other Student Aid that is offered, such as loans or work-study. Once the participant obtains the SAR and has accepted the grants, the SC must obtain the documentation showing completion of the FAFSA.

Participants who will be attending a CTP program will need to apply for Federal Student Aid. Federal Student Aid could lead to a grant that unlike a loan, does not have to be repaid. A participant who is only applying for a CTP program, does not need to have a high school diploma or a GED to apply for FAFSA and receive grants. More information about grants and CTP programs can be accessed at <https://studentaid.ed.gov/sa/eligibility/intellectual-disabilities>. Further, participants who will be attending a CTP program must be referred to OVR unless there is a closed order of selection, as expenses for CTP programs may be eligible for funding through OVR.

Participants who have expressed a desire to attend a post-secondary education program will need to apply for FAFSA and should also be encouraged to additionally apply for scholarships.

### *Integration with the General Student Population*

When determining whether a post-secondary education program meets the standard that the participant spends at least 75% of his or her time “on campus” integrated with the general student population, the participant’s time spent in the following locations and participating in the following activities that are part of the post-secondary education program must be counted:

- Classes;
- Internships;
- Housing (when the housing is part of the college program);
- Activities arranged by peer mentors or on-campus support; and
- Any other activities the participant participates in that are located on the post-secondary education program’s campus.

### *On-Campus Peer Supports*

On-Campus Peer Supports is a component that the post-secondary education program can voluntarily choose to provide and bill as Education Support services. In addition to site-based training, On-Campus Peer Supports may include related assessments, on campus job development (finding/coaching, apprenticeships, internships, etc.), advocacy, travel instruction, and other services needed to maintain the given role (student, residential hall participant, student employee, or student life participant). The charge for On-Campus Peer Supports is billed as a flat fee that is established by the post-secondary education program. On-Campus Peer Supports does not replace the support that the college or university is required to offer via the Office of Disability Services (also known as a 504 Accommodation). There is no cost to the

individual to receive services from the Office of Disability Services if they meet the college or university's eligibility requirements.

### *Units of Service*

When developing the service plan, the Supports Coordinator should enter units as follows:

- One unit per class in which the participant will enroll. For example, if the participant has registered for three classes, then the Supports Coordinator should enter three units of Education Support in the service plan).
- One unit of On-Campus Peer Support per semester, regardless of the number of hours of support that will be delivered during the semester.

### *Limit on Education Support Services*

The limit on Education Support Services applies to each waiver. If a person moves from the P/FDS Waiver to the Community Living Waiver or Consolidated Waiver they would have had a \$35,000 limit in the P/FDS Waiver and they would receive a new \$35,000 limit in the Community Living Waiver or Consolidated Waiver. Education Support Services received by the person prior to July 1, 2017 will not count toward the \$35,000 limit on services.

### **Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Does the participant have an employment Outcome Statement or other Outcome Actions related to skill attainment or development in the ISP related to the Education Support Service need?
- Does the Education Support Service relate directly to the Outcome selected by the participant?
- Is the participant age 21 or younger? If yes, why isn't this service provided for the participant through the Department of Education?
- If the participant will attend a college, community college, technical school, or university, include CTP programs, was Federal Student Aid sought as specified in the Additional Service Definition Clarification section?
- Does the participant need on-campus support? If yes, will the post-secondary education program provide the support as part of their program or will the participant need discrete Companion or In-Home and Community Support services?
- Is the participant deaf and has been assessed as benefitting from learning American Sign Language or another form of communication?

### **Service limits:**

- The provision of Education Support services may not be provided at the same time as the direct provision of any of the following: Community Participation Support; Small Group Employment; Supported Employment; job acquisition and job retention in Advanced Supported Employment; Benefits Counseling; Transportation; Therapies; Music, Art and Equine Assisted Therapy; Consultative Nutritional Services and 15-

minute unit Respite. When on campus peer support is offered by the institution of postsecondary education and authorized in the service plan as Education Support, In-Home and Community Supports and Companion cannot be authorized at the same time as the on campus peer support.

- Participants can receive a maximum of:
  - \$35,000 toward tuition for classes in the participant's lifetime for any Education Support Services received on or after July 1, 2017. Any Education Support services that the participant received prior to July 1, 2017 will not be counted toward this limit. This limit applies to services received through the waiver the participant is enrolled in. If the participant transfers from one waiver to another (for example from the P/FDS waiver to the Consolidated Waiver), services received through the previous waiver would not could toward the limit in the new waiver; and
  - \$5000 per semester of on campus peer support for participants taking at least 6 credit hours of classes per semester. On-campus peer support cannot be reimbursed through Education Support when the participant takes fewer than 6 credit hours of classes per semester.
- The following list includes items excluded as Education Support services (please note this is not an exhaustive list of excluded items):
  - Room and board.
  - Payment for books.
  - Payment for recreational classes, activities and programs offered through recreational commissions, townships, boroughs, etc.
  - Tuition for adult education classes offered by online universities.
  - Tuition for online classes.
  - Tuition for adult education classes provided on disability specific campuses.

#### **SC documentation requirements:**

- Documentation of verification that services are not available for funding through OVR or available through IDEA for individuals still in school.
- Documentation that Federal Student Aid was applied for and granted or not granted, if the participant will attend a college, community college, technical school, or university, including CTP programs.
- When attending and institution of post-secondary education, there must also be documentation that the participant will spend at least 75% of their time on campus integrated with the general student population. This documentation could include, but is not limited to, an activity schedule for the participant.
- A summary of the documentation must be included in the *Service Details* page of the ISP.
- Documentation to support the continued need for service re-authorization (i.e. to train on a new skill or progress demonstrated on current Outcome Actions to date).

#### **The procedure code and service units for Education Support Services:**

Provider Type **55** - Vendor  
Specialty **533** - Educational Service

Provider Type **54** - Intermediate Services Organization  
Specialties: **541** - ISO-Fiscal/Employer Agent; **540** - ISO-Agency with Choice

(A provider agency functioning as an OHCDs may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit – Vendor Based Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 18 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7284*</b>		<b>Education Support Services</b>	Education Support Services consist of adult education classes offered by a college, community college, technical school or university (institution of postsecondary education). Participants must have an employment outcome, or an outcome related to skill attainment or development which is documented in the service plan and is related to the Education Support need.  Education Support Services-Outcome Based
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Procedure Code in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

## Section 14.9: Employment Services

Achieving employment and community inclusion are cornerstones of ODP policies, principles and practices. Act 36 of 2018, the Employment First Act, states that competitive integrated employment is “the first consideration and preferred outcome” for “working-age Pennsylvanians with a disability.”

In support of the Employment First Act and its credence that working age people with disabilities can and should work, ODP administers these employment-based waiver services: Advanced Supported Employment, Small Group Employment and Supported Employment. These services encourage and support individuals through the process that is expected to lead to an employment outcome.

ODP expects AEs to institute standard practices to promote employment through the ISP. To facilitate the conversation with individuals and families regarding employment options, all Supports Coordinators and supervisors should utilize the employment trainings and resources including the [LifeCourse Toolkit](#) and [Pathway to Employment Guidance for Conversations](#). A myriad of employment resources are available on the [Employment Page](#) of the MyODP [website](#).

For services that require a referral to OVR, the Supports Coordinator should make a referral to OVR as soon as the participant mentions that he or she is interested in employment or is actively seeking employment for which he or she will require services to maintain. The referral process is detailed in the current *OVR Referrals for ODP Employment Related Services* bulletin or when OVR is operating under a closed order of selection, the current *OVR Referrals During a Period when OVR's Order of Selection is Closed* bulletin. The bulletin and related attachments can be found on the [DHS website](#).

Please note: Supports Coordinators shall not make referrals to OVR simply to obtain documentation of an ineligibility determination, a closure letter and/or a denial in order to get employment services through the waiver. The referral is made to ensure the participant has availed him or herself of the expertise of OVR in the pursuit of the goal of competitive integrated employment as the first consideration and preferred outcome for the participant.

### SC documentation requirements for employment:

- The SC shall document all discussions regarding employment in a service note in HCSIS.
- The Employment Screen in the ISP should be filled out for all individuals who have employment services.
- Individuals receiving employment services must have an employment outcome included in their ISP. Because these individuals have an employment outcome, the answer to “Does this consumer have employment/volunteer goals?” in the Employment/Volunteer Information section of their ISP should be “yes”.
- The SC shall document the date that a referral to OVR was made in the Additional Comments box of the Educational/Vocational Information section of the ISP. The SC shall also document the referral to OVR using the Supports Coordinator’s Checklist for a Referral for OVR Services, which is Attachment 6 of Bulletin 00-19-01 or its successor.

## **Advanced Supported Employment**

Advanced Supported Employment is an enhanced version of supported employment services provided by qualified providers. The service includes discovery, job development, systematic instruction to learn the key tasks and responsibilities of the position, and intensive job coaching and supports that lead to job stabilization and retention.

### DISCOVERY

Discovery is a targeted service for a participant who wishes to pursue competitive integrated employment but, due to the impact of their disability, their skills, preferences, and potential contributions cannot be best captured through traditional, standardized means, such as functional task assessments, situational assessments, and/or traditional normative assessments that compare the participant to others or arbitrary standards of performance and/or behavior.

Discovery involves a comprehensive analysis of the participant in relation to the following:

- Strongest interests toward one or more specific aspects of the labor market;
- Skills, strengths and other contributions likely to be valuable to employers or valuable to the community if offered through self-employment; and
- Conditions necessary for successful employment or self-employment.

Discovery includes the following activities: observation of the participant in familiar places and activities, interviews with family, friends and others who know the participant well, observation of the participant in an unfamiliar place and activity, identification of the participant's strong interests, and existing strengths and skills that are transferable to individualized integrated employment or self-employment. Discovery also involves identification of conditions for success based on experience shared by the participant and others who know the participant well, and observation of the participant during the Discovery process. The information developed through Discovery allows for activities of typical life to be translated into possibilities for individualized competitive integrated employment or self-employment.

### JOB ACQUISITION

Job development, which can include customized employment or self-employment, is based on individualizing the employment relationship between employees and employers and negotiating on behalf of the participant in a way that matches the needs of the employer with the assessed strengths, skills, needs, and interests of the participant.

Systematic instruction refers to a strategic, carefully planned sequence for instruction, from simple to complex, with clear and concise objectives driven by ongoing assessment. It is carefully thought out and designed before work commences.

### JOB RETENTION

Intensive job coaching includes assisting the participant in meeting employment expectations, performing business functions, addressing issues as they arise, and also includes travel training and diversity training to the specific business where the participant is employed. It provides support to assist participants in stabilizing a competitive integrated job (including self-

employment) including ongoing support and may include activities on behalf of the participant to assist in maintaining job placement.

Eligibility for Advanced Supported Employment is limited to participants whose preferences, skills, and employment potential cannot be best determined through traditional, standardized means due to the impact of their disability. Specifically, the participant:

1. Has been found ineligible for or has a closed case with Office of Vocational Rehabilitation (OVR) services and chooses not to be re-referred or it has been determined that OVR services are not available. If OVR has not made an eligibility determination within 120 days of the referral being sent, then OVR services are considered to not be available to the participant; and
2. Has never had job skills training or development, has never had any work related experiences (including volunteer experiences) or in the past 2 years, with the use of Supported Employment services, has not been able to secure a competitive integrated job or has not been able to keep a competitive integrated job for more than 6 months; and
3. Meets one of the following criteria:
  - a. Is currently in an activity receiving a sub-minimum wage; or
  - b. After consulting with a credentialed provider, it is the opinion of the service plan team that the level of support provided through this service is needed to secure sustained competitive integrated employment.

In the event that OVR closes the order of selection, the following process will be followed from the effective date until the closure is lifted:

- A participant who has been referred to OVR but does not have an approved Individualized Plan for Employment (IPE) may receive Advanced Supported Employment.
- A participant who has not been referred to OVR may receive Advanced Supported Employment without a referral to OVR.

In addition to the criteria above, to be eligible for job development, systematic instruction or intensive job coaching under Advanced Supported Employment, the participant must have received the discovery service under Advanced Supported Employment through its completion or the completion of the discovery/profile phase through OVR and the case was closed.

Advanced Supported Employment is paid on an outcome basis. Providers are paid for three separate outcomes.

1. Discovery Profile – The production of a detailed written Discovery Profile, using a standard template prescribed by the Department or one that meets the professional credential required for this service, which summarizes the process, learning and recommendations to inform identification of the participant's individualized goal(s) and strategies to be used in securing competitive integrated employment, and the production of a visual resume and individualized plan for employment, using a standard template prescribed by the Department or one that meets the professional credential required for this service.
2. Securing a Job – A job evidenced by an offer letter, email, documented phone call or other documentation from an employer offering the participant employment that meets the definition of competitive integrated employment or evidence of self-employment.
3. Retention of Job – Successful retention on the job, evidenced by the participant working a minimum of 5 hours per week for at least 4 months.

Discovery activities may be provided within a variety of settings including residential habilitation settings when identified as a need in the service plan or vocational facilities and adult training facilities when these facilities are where the participant's employment or volunteer experience occurred that is being assessed and when identified as a need in the service plan.

Behavioral Support may be provided at the same time as Advanced Supported Employment if the need is documented in the service plan.

Companion may be provided at the same time as Advanced Supported Employment for the purpose of supporting the participant with non-skilled activities, supervision and/or incidental personal care that cannot, or would be inappropriate to, be provided with the support from coworkers or other natural supports and is outside the scope of the Advanced Supported Employment service. Documentation must be maintained in the service plan about the methods that were considered and/or tried to support the non-skilled activities, supervision and/or incidental personal care at the job site before it was determined that Companion was necessary to enable the participant to sustain competitive integrated employment.

This service may be delivered in Pennsylvania and in states contiguous to Pennsylvania.

#### **Additional Service Definition Clarifications:**

- The Centers for Medicare and Medicaid Services (CMS) defines self-employment as the operation of a trade or business by an individual or by a partnership in which an individual is a member.
- When developing the ISP, the Supports Coordinator should enter one unit for each Advanced Support Employment outcome (one unit for Discovery Profile, one unit for Job Acquisition, one unit for Job Retention). The Supports Coordinator can insert more than one Advanced Support Employment outcome in the ISP if the planning team determines that the outcomes should be achieved within the next year.
- The participant is not required to receive all three outcomes from the Advanced Supported Employment service. The Discovery Profile outcome is required to be received through Advanced Supported Employment prior to receiving the Job Acquisition outcome or Job Retention outcome, unless a discovery profile has already been completed by OVR and OVR later closed the case. A participant could choose to receive the Discovery Profile and Job Acquisition outcome through Advanced Supported Employment and then choose to receive job coaching through Supported Employment.

#### **Determining the need for services:**

The following additional questions should be used to determine a need for this service:

- Is this participant interested in competitive integrated employment?
- Does the participant meet the following criteria?
  - OVR referral criteria has been met per ODP Bulletin 00-19-01 and 00-19-02 or their successors;

- Has never had job skills training or development, has never had any work related experiences (including volunteer experiences) or in the past 2 years, with the use of Supported Employment services, has not been able to secure a competitive integrated job or has not been able to keep a competitive integrated job for more than 6 months; and
- Meets one of the following criteria:
  - Is currently in an activity receiving a sub-minimum wage; or
  - After consulting with a credentialed provider, it is the opinion of the ISP team that the level of support provided through this service is needed to secure sustained competitive integrated employment.
- Prior to adding job acquisition or job retention to the ISP, has a Discovery profile been developed for the participant through Advanced Supported Employment, or has a Discovery profile been completed through OVR and the case was closed?

### **Service limits:**

- The direct provision of job acquisition activities may not be provided in a vocational facility or adult training facility.
- Job retention activities may not be provided in a Vocational Facility (55 Pa. Code Chapter 2390), Adult Training Facility (55 Pa. Code Chapter 2380), Child Residential Rehabilitation Services for the Mentally Ill (55 Pa. Code Chapter 5310) or any licensed or unlicensed home that provides residential habilitation services funded by ODP.
- The direct provision of job acquisition and job retention may not be provided at the same time as the direct provision of any of the following: In-Home and Community Supports; Community Participation Support; Small Group Employment; Benefits Counseling; 15-minute unit Respite; Transportation; Therapies; Education Support and Music, Art and Equine Assisted Therapy.
- Participants authorized to receive Advanced Supported Employment services may not also be authorized to receive Supported Employment services during the same time period. For example: If a participant is authorized for Supported Employment from 7/1/2019-11/1/2019, they may not be authorized for Advanced Supported Employment for any point in time, including hours, days, or weeks, during that date segment.
- Advanced Supported Employment services furnished under the waiver may not include services available under section 602(16) and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401 (16 and 17)).

### **SC documentation requirements:**

- The SC must document that the participant has a closed case or is ineligible for OVR services, or that OVR services are not available. SCs should refer to bulletins 00-19-01 and 00-19-02 for specific documentation requirements for the ISP and information on what documentation must be kept in the participant's file.
- When OVR is operating under a closure of the order of selection, the SC will follow documentation requirements as enumerated in Bulletin 00-19-02, *OVR Referrals During a Period when OVR's Order of Selection is Closed*, or its successor.

### **The procedure code and service unit for Advanced Supported Employment:**

Provider Type **53** - Employment-Competitive

Specialties: **534** – Supported Employment

Service Unit – Outcome Based

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 16-120 years old;

Base Funding: 16-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7235</b>	<b>UD</b>		Discovery Profile Outcome: This service involves a comprehensive analysis of the participant's skills and interests to prepare the participant for employment or self-employment. Adv Supp Emplmmt-Discovery
<b>H2023</b>	<b>UD</b>		Job Acquisition Outcome: This service is focused on matching the needs of the employer with the assessed strengths, skills, needs, and interests of the participant, with the goal of helping the participant find competitive integrated employment (or self-employment). Adv Supp Emplmmt-Job Acquisition
<b>H2025</b>	<b>UD</b>		Job Retention Outcome: This service provides support to assist participants in stabilizing a competitive integrated job (including self-employment). Adv Supp Emplmmt-Job Retention >= 4 Mths
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure codes above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

UD modifier - Must be used for Advanced Supported Employment services as it is used to denote that this is an ODP service.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – UD

2<sup>nd</sup> – U1

## **Small Group Employment**

Small Group Employment services are direct services consist of supporting participants in transitioning to competitive integrated employment through work that occurs in a location other than a facility subject to 55 Pa. Code Chapter 2380 or Chapter 2390 regulations. The goal of Small Group Employment services is competitive integrated employment. Participants receiving this service must have a competitive integrated employment outcome included in their service plan, and it must be documented in the service plan how and when the provision of this service is expected to lead to competitive integrated employment. Work that participants perform during the provision of Small Group Employment services must be paid at least minimum wage and the compensation must be similar to compensation earned by workers without disabilities performing the same work.

Small Group Employment service options include mobile work force, work station in industry, affirmative industry, and enclave.

A Mobile Work Force uses teams of individuals, supervised by a training/job supervisor, who conduct service activities at a location away from an agency or facility. The provider agency contracts with an outside organization or business to perform maintenance, lawn care, janitorial services, or similar tasks and the individuals are paid by the provider.

A Work Station in Industry involves individual or group training of participants at an industry site. Training is conducted by a provider training/job supervisor or by a representative of the industry, and is phased out as the participant(s) demonstrates job expertise and meets established work standards. A Work Station in Industry is an employment station arranged and supported by a provider within a community business or industry site, not within a licensed facility site. An example would be three seats on an assembly line within a computer chip assembly factory. The provider has a contract with the business to ensure that those three seats are filled by adults with disabilities that they support.

Affirmative Industry is a business that sells products or services where at least 51% of the employees do not have a disability.

Enclave is a business model where participants with a disability are employed by a business/industry to perform specific job functions while working alongside workers without disabilities.

The service also includes transportation that is an integral component of the service; for example, transportation to a work site. The Small Group Employment provider is not, however, responsible for transportation to and from a participant's home, unless the provider is designated as the transportation provider in the participant's service plan. In this case, the transportation service must be authorized and billed as a discrete service.

Small Group Employment includes supporting the participant with personal care needs that cannot, or would be inappropriate to, be provided with the support from coworkers or others.

Small Group Employment services may not be rendered under the Waiver until it has been verified that the service is not available in the student's (if applicable) complete and approved Individualized Education Program (IEP) developed pursuant to IDEA. Documentation must be maintained in the file of each participant receiving Small Group Employment services to satisfy this state assurance.

Effective July 1, 2019, Small Group Employment services may be provided without referring a participant to OVR as OVR does not provide Small Group Employment services.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

**Additional Service Definition Clarification:**

- Individuals who are receiving the Affirmative Industry or Enclave options of the Small Group Employment service may be paid directly by their employers. As stated in the service definition, individuals receiving the Mobile Work Force or Work Station options will be paid by the provider of the service.

**Determining the need for services:**

The following additional questions should be used to establish a determination of need for Small Group Employment services:

- Does the participant receive minimum wage or higher? If the participant receives below minimum wage, Community Participation Support must be chosen.
- Is this participant currently successful (meeting or exceeding outcome actions) in a prevocational environment?
- Would the participant benefit from a supportive environment to increase appropriate work skills?

**Service limits:**

- Participants authorized to receive Small Group Employment services may not receive the direct portion of the following services at the same time: In-Home and Community Supports; Companion; Community Participation Support; 15-minute unit Respite; Supported Employment; job acquisition and job retention in Advanced Supported Employment; Benefits Counseling; Transportation; Therapies; Education Support; Music, Art and Equine Assisted Therapy, and Consultative Nutritional services.
- When Small Group Employment services are not provided with any other employment service (Supported Employment, Advanced Supported Employment and/or Community Participation Support) the hours of authorized Small Group Employment cannot exceed 40 hours (160 15-minute units) per participant per calendar week.
- When Small Group Employment services are provided in conjunction with Supported Employment and/or Community Participation Support the total number of hours for these services (whether utilized alone or in conjunction with one another) cannot exceed 50 hours (200 15-minute units) per participant per calendar week.
- Small Group Employment may not be provided in an Adult Training Facility or a Vocational Facility subject to 55 Pa. Code Chapter 2380 or Chapter 2390 regulations.
- Federal financial participation cannot be claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:
  - Incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment services; or
  - Payments that are passed through to users of small group employment services.

- Small Group Employment services are only billable when the participant is receiving direct support during the time that he or she is working and receiving wages through one of the four service options or during transportation to a work site.

#### SC documentation requirements:

- If the individual is a student with a complete and approved Individualized Education Program (IEP), documentation must be maintained in the individual's file verifying that Small Group Employment services are not available to the individual through his or her IEP. The SC shall contact a school official to confirm and record that conversation in a service note.
- Progress needs to be documented such that the trainer is phased out as the individual meets established production goals in work station and affirmative industry.
- The employment screen must be completed for individuals receiving employment services.

#### The procedure codes and service units for Small Group Employment Services:

Provider Type **51** - Home & Community Habilitation

Specialty **516** - Transitional Work Services

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 16-120 years old;

Base Funding: 16-120 years old

Allowable Place of Service: 99-Other (Community)

Procedure Code	Allowable Modifiers	Service Level	Service Description HCSIS Description
<b>W7237</b>		Basic Staff Support	The provision of the service at a staff-to-individual ratio range of 1:10 to >1:6. Small Group Employment (Base)-15 min
<b>W7239</b>		Staff Support Level 1	The provision of the service at a staff-to-individual ratio range of <1:6 to 1:3.5. Small Group Employment (Level 1)-15 min
<b>W7241</b>		Staff Support Level 2	The provision of the service at a staff-to-individual ratio range of <1:3.5 to >1:1. Small Group Employment (Level 2)-15 min
<b>W7245</b>		Staff Support Level 3	The provision of the service at a staff-to-individual ratio of 1:1. Small Group Employment (Level 3)-15 Mins
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

## **Supported Employment**

Supported Employment services are direct and indirect services that are provided in a variety of community settings for the purposes of supporting participants in obtaining and sustaining competitive integrated employment. Competitive integrated employment refers to full or part-time work at minimum wage or higher, with wages and benefits similar to workers without disabilities performing the same work, and fully integrated with coworkers without disabilities.

Supported Employment services include activities such as training and additional supports including worksite orientation, job aide development, coordination of accommodations and ensuring assistive technology that may be needed by the participant to obtain and sustain competitive integrated employment is utilized as specified in the plan. Payment will be made only for the training and supports required by the participant and will not include payment for the training or supervisory activities that should be rendered as a normal part of the job.

Supported Employment services consist of three components: career assessment, job finding or development, and job coaching and support.

### CAREER ASSESSMENT

Career assessment is a person-centered, individualized employment assessment used to assist in the identification of potential career options, including self-employment, based upon the interests and strengths of the participant. Career assessment may include discovery activities and may be provided within a variety of settings, including residential habilitation settings when identified as a need in the service plan, or vocational facilities and adult training facilities when these facilities are where the participant's employment or volunteer experience occurred that is being assessed and when identified as a need in the service plan. Career assessment activities, on average, should be authorized for no longer than 6 consecutive months and should result in the development of a career assessment report. When a participant requires career assessment activities in excess of 6 consecutive months, an explanation of why the activities are needed for an extended period of time should be included in the service plan.

Career assessment includes:

- Gathering and conducting a review of the participant's interests, skills, and work or volunteer history.
- Conducting situational assessments to assess the participant's interest and aptitude in a particular type of job.
- Conducting informational interviews.
- Identifying types of jobs in the community that match the participant's interests, strengths and skills.
- Developing a career assessment report that specifies recommendations regarding the participant's needs, interests, strengths, and characteristics of potential work environments. The career assessment report must also specify training or skills development necessary to achieve the participant's career goals.

### JOB FINDING OR DEVELOPMENT

Job finding or development includes employer outreach and orientation, job searching, job development, resume preparation and interview assistance. Other activities may include

participation in individual planning for employment, development of job-seeking skills, development of job skills specific to a job being sought, job analysis, consulting with the Office of Vocational Rehabilitation (OVR), benefits counseling agencies, or Ticket to Work employment networks on behalf of a participant, or self-employment assistance. Job finding or development may be provided in a variety of settings including residential habilitation settings when identified as a need in the service plan. The direct portion of job finding or development may not be provided in a vocational facility or adult training facility.

Job finding or development may include customized job development. Customized job development means individualizing the employment relationship between employees and employers in a way that matches the needs of the employer with the assessed strengths, skills, needs, and interests of the participant, either through task reassignment, job carving, or job sharing. Job finding or development may also include negotiating the conditions for successful employment with a prospective employer including tasks, wages, hours and support.

### JOB COACHING AND SUPPORT

Job coaching and support consists of training the participant on job assignments, periodic follow-up, or ongoing support with participants and their employers. This may include systematic instruction. The service must be necessary for participants to maintain acceptable job performance and work habits, including assistance in learning new work assignments, maintaining job skills, and achieving performance expectations of the employer. Other examples of activities include direct intervention with an employer, employment-related personal skills instruction, support to re-learn job tasks, training to assist participants in using transportation to and from work, worksite orientation, job aide development, coordination of accommodations, ensuring assistive technology is utilized as specified in the plan, maintenance of appropriate work and interpersonal behaviors on the job, follow-along services at the work site after OVR-funded services are discontinued or OVR referral requirements are satisfied, and technical assistance and instruction for the participant's coworkers that will enable peer support.

Job coaching and support may not be provided in a vocational facility, adult training facility, Child Residential and Day Treatment Facilities (55 Pa. Code Chapter 3800), Community Residential Rehabilitation Services for the Mentally Ill residential programs (55 Pa. Code Chapter 5310) or any licensed or unlicensed home that provides residential habilitation services funded by ODP.

As part of a participant's ongoing use of job coaching and support, it is expected that the provider will develop a fading plan or fading schedule that will address how use of this service will decrease as the participant's productivity and independence on the job increases and as he or she develops unpaid supports through coworkers and other on-the-job resources. Ongoing use of job coaching and support is limited to providing supports for participants not otherwise available through the employer such as support offered through regular supervisory channels, reasonable accommodation required under the Americans with Disabilities Act, available and appropriate unpaid supports, or on-the-job resources available to employees who do not have a disability.

Supported Employment services may not be rendered under the Waiver until it has been verified that:

- The services are not available in the student's (if applicable) complete and approved Individualized Education Program (IEP) developed pursuant to IDEA;

- OVR has closed the participant's case or has stopped providing services to the participant;
- It has been determined that OVR services are not available. If OVR has not made an eligibility determination within 120 days of the referral being sent, or a participant has received an offer of competitive integrated employment prior to OVR making an eligibility determination, then OVR services are considered to not be available to the participant; or
- The participant is determined ineligible for OVR services.

A participant does not need to be referred to OVR if:

- The participant is competitively employed and solely needs extended supports to maintain the participant's current job.
- The participant is competitively employed and is seeking job assessment or job finding services to find a new job, unless the purpose is job advancement which can be provided by OVR.

In the event that OVR closes the order of selection, the following process will be followed from the effective date until the closure is lifted:

- A participant who has been referred to OVR but does not have an approved Individualized Plan for Employment (IPE) may receive Supported Employment.
- A participant who has not been referred to OVR may receive Supported Employment without a referral to OVR.

Documentation referenced above must be maintained in the file of each participant receiving Supported Employment services.

It is not allowable for providers of Supported Employment services to also be the employer of the participant to whom they provide Supported Employment services.

Behavioral Support may be provided at the same time as Supported Employment if the need is documented in the service plan.

Companion services may be provided at the same time as Supported Employment for the purpose of supporting the participant with non-skilled activities, supervision and/or incidental personal care that cannot, or would be inappropriate to, be provided with the support from coworkers or others and is outside the scope of the Supported Employment service. Documentation must be maintained in the service plan about the methods that were considered and/or tried to support the non-skilled activities, supervision and/or incidental personal care needs at the job site before it was determined that Companion services were necessary to enable the participant to sustain competitive integrated employment.

Supported Employment services can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

#### **Additional Service Definition Clarifications:**

- Supported Employment services may not be used to help a participant secure, learn and maintain a volunteer experience. Community Participation Support, however, may be used to help a participant secure, learn and maintain a volunteer experience.

- If after 3-4 months of volunteering at that position, Supported Employment/Career Assessment could be utilized to observe and document/describe the participant's skills/aptitude and interests in that volunteer experience and conduct informational interviews with the people with whom the participant volunteers. The information gained through the observations and informational interviews would become part of the person's Discovery Profile or career assessment report.

### **Determining the need for services:**

The following additional questions should be used to determine a need for this service:

- Is this participant interested in competitive integrated employment (which includes self-employment)?
- Has the participant had any prior work experience? (Participants may use this service regardless of whether they have prior work experience. When the participant does not have any prior work experience the ISP team is encouraged to discuss whether Supported Employment or Advanced Supported Employment is the best service to meet the participant's employment goals.)
- Is the participant currently competitively employed and solely needs extended supports to maintain their current job?
- Is the individual currently competitively employed and is seeking career assessment or job finding services to find a new job?
- Is the individual seeking career advancement?
- Is this participant currently meeting or exceeding Outcome actions in a prevocational or small group employment environment? If not, how will Supported Employment ensure the participant can meet or exceed outcome actions in competitive employment?
- If the participant is not already employed, can he or she successfully maintain competitive integrated employment with support?
- If the participant is receiving ongoing job coaching and support, what does the fading plan or schedule say?

### **Service limits:**

- Job coaching and support may not be provided in a vocational facility, adult training facility, Child Residential and Day Treatment Facilities (55 Pa. Code Chapter 3800), Community Residential Rehabilitation Services for the Mentally Ill residential programs (55 Pa. Code Chapter 5310) or any licensed or unlicensed home that provides residential habilitation services funded by ODP.
- Federal Financial Participation through the Waiver may not be claimed for incentive payments, subsidies, or unrelated vocational expenses such as the following:
  - Incentive payments made to an employer of participants receiving services to encourage or subsidize the employer's participation in a supported employment program;
  - Payments that are passed through to participants receiving Supported Employment; or
  - Payments for vocational training that are not directly related to a participant's Supported Employment program.
- The direct portion of Supported Employment may not be provided at the same time as the direct portion of any of the following: In-Home and Community Supports; 15-minute

unit Respite; Small Group Employment; Benefits Counseling; Transportation; Therapies; Education Support; Music, Art and Equine Assisted Therapy and Consultative Nutritional Services. Transportation costs associated with driving the participant to and from activities related to Supported Employment are included in the rate for this service. As such, providers of Supported Employment services are responsible for any needed transportation of the participant to complete Supported Employment activities, with the exception of driving the participant to his or her place of employment.

- The direct provision of job finding and development and job coaching and support may not be provided at the same time as Community Participation Support.
- Participants authorized to receive Supported Employment services may not be authorized to receive Advanced Supported Employment during the same time period.
- When Supported Employment services are not provided with any other employment service (Small Group Employment, Advanced Supported Employment or Community Participation Support) and the participant is not competitively employed, the hours of authorized Supported Employment cannot exceed 40 hours (160 15-minute units) per participant per calendar week based on a 52-week year.
- When Supported Employment services are provided in conjunction with Community Participation Support and/or Small Group Employment the total number of hours for these services (whether utilized alone or in conjunction with one another) cannot exceed 50 hours (200 15-minute units) per participant per calendar week based on a 52-week year.
- When the participant is competitively employed, the total number of hours for Supported Employment, Community Participation Support and/or Small Group Employment (whether utilized alone or in conjunction with one another) cannot exceed 50 hours (200 15-minute units) per participant per calendar week based on a 52-week year.

#### **SC documentation requirements:**

- Career assessment activities, on average, should be authorized no longer than 6 consecutive months and should result in the development of a career assessment report. When a participant requires career assessment activities in excess of 6 consecutive months, an explanation of why the activities are needed for an extended period of time should be included in the ISP.
- The provision of job finding and development services will be evaluated during individual monitoring by the SC to assess the continued need for the service and whether the service is assisting the individual with the outcome of finding community employment. If the service is not assisting the participant with this outcome, the SC will convene an ISP team meeting to identify changes to the Supported Employment service to realize this outcome or other service options to meet the participant's needs.
- The provision of job coaching and support services, including the fading plan, must be evaluated at least annually, as part of the ISP process, to determine whether the participant continues to require the current level of authorized services. The ISP must be updated, if necessary, to reflect the team's determination.
- The SC must document that the participant has a closed case or is ineligible for OVR services, or that OVR services are not available. SCs should refer to bulletins 00-19-01 and 00-19-02 for specific documentation requirements for the ISP and information on what documentation must be kept in the participant's file.
- When an OVR referral has been made, the SC must keep a copy of the letter from OVR that documents whether the participant is eligible or ineligible for OVR services or that

120 calendar days have passed since the participant was referred to OVR and no eligibility determination was made, in the participant's file.

- When OVR is operating under a closure of the order of selection, the SC shall follow documentation requirements as enumerated in Bulletin 00-19-02, *OVR Referrals During a Period when OVR's Order of Selection is Closed*, or its successor.

**The procedure code and service unit for Supported Employment Services:**

Provider Type **53** - Employment-Competitive  
Specialty: **531** - Job Support

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Provider type 53 may submit a claim for all the procedure codes listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541 for the asterisked procedure codes below).

Service Unit – 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 16-120 years old;

Base Funding: 16-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

Procedure Code	Allowable Modifiers	Service Level	Service Description HCSIS Description
<b>W7235*</b>		Basic	Career Assessment: This service is used to assist in the identification of potential career options, including self-employment, based upon the interests and strengths of the participant.  Supported Employment - Career Assessment  Staffing Ratio – 1:1
<b>H2023*</b>		Basic	Job Finding and Development: This service, includes employer outreach and orientation, job searching, job development, resume preparation and interview assistance.  Supported Employment-Job Finding/Job Development  Staffing Ratio – 1:1
<b>H2025</b>		Basic	Job Coaching and Support: This service consists of training the participant on job assignments, periodic follow-up, or ongoing support with participants and their employers.  Supported Employment-Job Support-1:2  Staffing Ratio – 1:2

<b>W9794*</b>		Level 1	<p>Job Coaching and Support: This service consists of training the participant on job assignments, periodic follow-up, or ongoing support with participants and their employers.</p> <p>Supported Employment-Job Support - 1:1</p> <p>Staffing Ratio – 1:1</p>
	<b>U1</b>		<p>Enhanced Communication Service - This modifier should be utilized with all of the Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.</p>

Provider Type 54 - Intermediate Service Organization

Specialty 540 - ISO-Agency with Choice

Service Unit – 15 minutes

<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
U4	No benefit allowance	<p>This modifier is to be used with the noted procedure code by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage.</p> <p>Supported Employment - Career Assessment-U4 Supported Employment-Job Finding/Job Development-U4 Supported Employment-Job Support - 1:1 - U4</p>
U1		<p>Enhanced Communication Service - This modifier can be utilized with the Agency With Choice modifier in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.</p>

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – U4

2<sup>nd</sup> – U1

**Section 14.10: Family/Caregiver Training and Support**

This service provides training and counseling services for unpaid family members or caregivers who provide support to a participant. For purposes of this service an unpaid family member or caregiver is defined as any person, such as a family member, spouse, neighbor, friend, partner, companion, or coworker, who provides uncompensated care, training, guidance, companionship or support to the participant.

This service is intended to develop, strengthen and maintain healthy, stable relationships among the participant and all members of the participant's informal network, to support achievement of the goals in the participant's service plan. Family/Caregiver Training and Support also assists the participant's unpaid family member or caregiver with developing expertise so that they can help the participant acquire, retain or improve skills that lead to meaningful engagement and involvement with others and in the community.

Family/Caregiver Training and Support services are intended to increase the likelihood that the participant will remain in or return to the family or unpaid caregiver's home, or so that the participant will successfully live in his or her own home or apartment in the community.

Family/Caregiver Training and Support services must be aimed at assisting unpaid family members or caregivers who support the participant to understand and address the participant's needs and strengthen the relationship between the participant and caregiver. Family/Caregiver Training and Support services must be necessary to achieve the expected outcomes identified in the participant's service plan and must be related to the role of the unpaid family member or caregiver in supporting the participant in areas specified in the service plan.

Emphasis in the Family/Caregiver Training and Support service may address such areas as:

- The acquisition of coping skills by building upon the strengths of the participant and unpaid family member or caregiver;
- Supporting unpaid family members or caregivers to support the participant during times of difficulty, crisis, loss, change, and transition;
- Working with unpaid family members or caregivers to improve communication with and support of one another;
- Coaching unpaid family members or caregivers in acquiring healthy approaches to reducing stress and balancing responsibilities; and
- Other areas so that all unpaid family members or caregivers can most effectively support the desired outcomes of the participant as described in the service plan.

Family/Caregiver Training and Support may include instruction about treatment regimens and other services included in the service plan and includes updates as necessary to safely maintain the participant at home and in the community during transitions throughout the lifespan. Services must be aimed at assisting the unpaid family member or caregiver in meeting the needs of the participant, and all training and counseling needs must be included in the service plan. The Family/Caregiver Training and Support provider must provide this service in a manner consistent with the participant's Behavior Support Plan and Crisis Intervention Plan.

In addition to services available from a qualified provider as described in the Provider Specifications section of this waiver service, Family/Caregiver Training and Support may also

be achieved through the unpaid family member or caregiver's attendance at specific training events, workshops, seminars or conferences by payment of registration and training fees, provided the formal instruction is relevant to the participant's needs as identified in the service plan. Payment or reimbursement for costs of travel, meals, and/or overnight lodging is not a covered expense.

The Family/Caregiver Training and Support provider must maintain documentation on strategies, interventions and progress relating to the stated goals of the service as indicated in the service plan.

Training and counseling provided to unpaid family members or caregivers may be delivered in Pennsylvania and in states contiguous to Pennsylvania. Registration fees for training opportunities may occur anywhere; however, lodging, meals and transportation are not compensable through the waiver.

**Additional Service Definition Clarification:**

- Family/Caregiver Training and Support is only available to family members and other caregivers who are not paid to provide services, with the exception of transportation. Family members and other caregivers who are only paid to provide transportation can use the service. Family members and other caregivers who are paid to provide any other services should receive training about the individual from their employer.

**Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Does the participant have unpaid family members or caregivers who would benefit from training and counseling by a professional to strengthen and maintain healthy and stable relationships with the participant?
- What strategies, interventions and progress related to the goals of the service have been documented by the provider?
- When considering payment or reimbursement of registration or training fees for a family member or caregiver to attend training events, workshops, seminars or conferences, is that formal instruction relevant to the participant's needs as identified in the ISP?

**Service limits:**

- The amount of training and counseling provided to unpaid family members or caregivers is limited to a maximum of 80 (15-minute) units which is equal to 20 hours per participant per fiscal year. In the event that these services would be needed beyond this limit to assure the participant's health and welfare, based on the unpaid family member or caregiver's request or provider assessment that additional services would be needed, the Supports Coordinator will convene a service plan meeting of the participant and other team members to explore

alternative resources to assure the participant's health and welfare through other supports and services.

- The amount of training or registration fees for the unpaid family member or caregiver's registrations costs at specific training events, workshops, seminars or conferences is limited to \$500 per participant per fiscal year, provided the formal instruction is relevant to the participant's needs as identified in the ISP. This cannot be used for lodging, meals or transportation.
- This service may not be provided in order to train or counsel paid caregivers. The waiver may not pay for services for which a third party, such as the family members' health insurance, is liable. Family/Caregiver Training and Support services do not duplicate mental health services to treat mental illness that Medical Assistance provides through a 1915(b) waiver (Behavioral HealthChoices).
- Participants who are authorized to receive Residential Habilitation or Life Sharing services may not be authorized to receive Family/Caregiver Training and Support.

#### **SC documentation requirements:**

- Documentation from the provider on strategies, interventions and progress relating to the stated goals of the service as indicated in the service plan.
- A summary of the documentation must be included in the *Service Details* page of the ISP.
- Documentation to support the continued need for service re-authorization (i.e. to train on a new skill or progress demonstrated on current Outcome Actions to date).

#### **The procedure code and service units for Family/Caregiver Training and Support (Training and Counseling Services):**

Provider Type **51** - Home & Community Habilitation, **19** - Psychologist  
Specialty **117** – Licensed Social Worker; **122** – Marriage & Family Counselor; **190** – General Psychologist; **202** – Family Psychologist

Provider Type **54** - Intermediate Services Organization  
Specialties: **541** - ISO-Fiscal/Employer Agent; **540** - ISO-Agency with Choice

(A provider agency functioning as an OHCDs may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. Individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.)

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>90846*</b>	<b>SE</b>	Participant not present during provision of service	Training and counseling services for unpaid family members or caregivers who provide support to a participant. Fmly/Crgvr Spprt-CnsIng-no Participant Present
<b>90847*</b>	<b>SE</b>	Participant present during the provision of service	Training and counseling services for unpaid family members or caregivers who provide support to a participant. Fmly/Crgvr Spprt-CnsIng-w/Participant Present Staffing Ratio – 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

SE Modifier - Must always be used for Family/Caregiver Training and Counseling (direct service, not the registration and training fees) as it is used to denote that this is an ODP service.

**The procedure code and service units for Family/Caregiver Training and Support (Fees for Training Events):**

Provider Type **55** – Vendor

Specialty **533** - Educational Service (this should be used for registration and fees for unpaid family members or caregivers to attend seminars, workshops, training events, etc.)

Provider Type **54** - Intermediate Services Organization

Specialties: **541** - ISO-Fiscal/Employer Agent; **540** - ISO-Agency with Choice

(A provider agency functioning as an OHCDs may submit a claim or the rendering vendor may submit a claim directly for the procedure code W7062 for the registration and fees covered under this service. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.)

Service Unit: Vendor Based Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

Procedure Code	Allowable Modifiers	Service Level	Service Description HCSIS Description
W7062		Family/ Caregiver Training	Registration and training fees for family member or caregivers to attend training events, workshops, seminars or conferences.  Family/Caregiver Support-Training and Support
	U1		Enhanced Communication Service - This modifier can be utilized with the Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

### **Section 14.11: Home Accessibility Adaptations**

Home accessibility adaptations are an outcome based vendor service that consists of certain modifications to the private home of the participant (including homes owned or leased by parents/relatives with whom the participant resides and Life Sharing homes that are privately owned, rented, or leased by the host family or participant). The modification(s) must be necessary due to the participant's disability, to ensure the health, security of, and accessibility for the participant, or which enable the participant to function with greater independence in the home. This service may only be used to adapt the participant's primary residence, may not be furnished to adapt homes that are owned, rented, leased, or operated by providers except when there is a needed adaptation for participants residing in a Life Sharing setting and the life sharing host home is owned, rented or leased by the host and not the Life Sharing provider agency.

Home accessibility adaptations must have utility primarily for the participant, be an item of modification that the family would not be expected to provide to a family member without a disability, be an item that is not part of general maintenance of the home, and be an item or modification that is not part of room and board costs as defined in 55 Pa. Code Chapter 6200. Home modifications consist of installation, repair, maintenance, and extended warranties for the modifications; and when necessary to comply with rental/lease agreements, return of the property to its original condition.

All modifications shall meet the applicable standards of manufacture, design, and installation. Modifications shall be specific to the participant's needs and not be approved to benefit the public at large, staff, significant others, or family members; modifications or improvements to the home that are of general utility are excluded. All adaptations to the household shall be provided in accordance with applicable building codes.

Modifications not of direct medical or remedial benefit to the participant are excluded.

Modifications to a household subject to funding under the Waivers are limited to the following:

- Ramps from street, sidewalk or house.
- Vertical lifts.
- Portable or track lift systems. A portable lift system is a standing structure that can be wheeled around. A track lift system involves the installation of a "track" in the ceiling for moving an individual with a disability from one location to another.
- Handrails and grab-bars in and around the home.
- Accessible alerting systems for smoke/fire/CO2 for individuals with sensory impairments.
- Electronic systems that enable someone with limited mobility to control various appliances, lights, telephone, doors, and security systems in their room, home or other surroundings.
- Outside railing from street to home.
- Widened doorways, landings, and hallways.
- An additional doorway needed to ensure the safe egress of the participant during emergencies, when a variance is approved by the ODP Regional Office.
- Swing clear and expandable offset door hinges.
- Flush entries and leveled thresholds.
- Replacement of glass window panes with a shatterproof or break resistant material for participants with behavioral issues as noted in the participant's service plan.

- Slip resistant flooring.
- Kitchen counter, major appliance, sink and other cabinet modifications.
- Modifications to existing bathrooms for bathing, showering, toileting and personal care needs.
- Bedroom modifications of bed, wardrobe, desks, shelving, and dressers.
- Stair gliders and stair lifts. A stair lift is a chair or platform that travels on a rail, installed to follow the slope and direction of a staircase, which allows a user to ride up and down stairs safely.
- Workroom modifications to desks and other working areas.
- Modifications needed to accommodate a participant's special sensitivity to sound, light or other environmental conditions.

Adaptations that add to the total square footage of the home are excluded from this benefit. The only exception to this is adaptations to existing bathrooms that are necessary to complete the adaptation (e.g., necessary to configure a bathroom to accommodate a wheelchair). Building a new room is excluded. Home accessibility adaptations may not be used in the construction of a new home.

Durable medical equipment is excluded. To the extent that any listed services are covered under the state plan, including EPSDT, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.

This service must be delivered in Pennsylvania.

### **Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Is the modification included in the exclusive list in the service definitions for this service?
- Is the modification of direct medical or remedial benefit to the participant?
- Does the modification have a primary benefit to the participant and not the public at large, staff, significant others or families?
- Was there a recommendation obtained from an appropriate professional?
- Do the modifications meet the applicable standards of manufacture, design and installation?
- Are these modifications cost effective?
- Is the modification consistent with the needs of the participant based on an assessment or evaluation?

### **Service limits:**

- Maximum state and federal funding participation is limited to \$20,000 per participant during a 10-year period. The 10-year period begins with the first utilization of authorized Home Accessibility Adaptations. A new \$20,000 limit can be applied when the participant moves to a new home or when the 10-year period expires. In situations of joint custody (as determined by an official court order) or other situations where a participant divides their time between official residences, the adaptations must be

allowable services and must be completed within the overall monetary limit of \$20,000 for this service.

- A variance may be made to the \$20,000 limit when approved by ODP for any of the following situations:
  - Maintenance or repair to existing home accessibility adaptations when it is not covered by a warranty or home owners insurance and the maintenance or repair is more cost effective than replacing the home accessibility adaptation.
  - Track lift systems that exceed the limit and will reduce the need for other services.
- Participants authorized to receive Residential Habilitation services may not be authorized to receive Home Accessibility Adaptations.

#### **SC documentation requirements:**

- At least three bids must be obtained for Home Accessibility adaptations that cost more than \$1,000. The least expensive bid must be chosen, unless there is documentation from the ISP team that justifies not choosing the lowest bid. If three contractors, companies, etc., cannot be located to complete the Home Accessibility Adaptations, documentation of the contractors or companies contacted must be kept in the participant's file.
- The SC will document in the *Physical Development* field, the adaptation, the purpose of the adaptation, the cost of the adaptation and the formal/informal assessment that identifies the participant's need for the adaptation.
- The SC should document how the modification will be used when there are multiple qualified providers supporting the participant.

#### **The procedure code and service unit for Home Accessibility Adaptations Service:**

Provider Type **55** - Vendor

Specialty: **543**, Environmental Accessibility Adaptations

Provider Type **54** - Intermediate Services Organization

Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(A provider agency functioning as an OHCDS may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: Vendor Based Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 12-Home

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7279*</b>	<b>Home Accessibility Adaptations</b>	<p>This service consists of modifications to the private home of the participant. The modification(s) must be necessary due to the participant's disability, to ensure the health, security of, and accessibility for the participant, or which enable the participant to function with greater independence in the home. Maximum limit for home adaptations is \$20,000 per individual for a 10-year period.</p> <p>Home Accessibility Adaptations</p>

**Section 14.12: Homemaker/Chore**

Homemaker/Chore services are provided to participants who live in private homes.

**HOMEMAKER**

Homemaker services enable the participant or the family member(s) or friend(s) with whom the participant resides to maintain their primary private home. This service can only be provided when a household member is temporarily absent or unable to manage the home, or when no landlord or provider agency staff is responsible to perform the homemaker activities. Homemaker Services include cleaning and laundry, meal preparation, and other general household care.

**CHORE**

Chore services consist of services needed to maintain the home in a clean, sanitary, and safe condition. Chore services consist of heavy household activities such as washing floors, windows, and walls; tacking down loose rugs and tiles; moving heavy items of furniture in order to provide safe access and egress; ice, snow, and/or leaf removal; and yard maintenance. In the case of rental property, the responsibility of the landlord, pursuant to the lease agreement, will be examined prior to any authorization of service. Maintenance in the form of upkeep and improvements to the participant's home is excluded from federal financial participation.

Homemaker/Chore services can only be provided in the following situations:

- Neither the participant, nor anyone else in the household, is capable of performing the function; and
- No other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for the provision.

This service must be delivered in Pennsylvania.

**Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Is there any other household member who manages the home or provides homemaker activities?
- Is the individual, family member, friend or anyone else in the household capable of performing the function?
- Is any other relative, caregiver, landlord, community/volunteer agency or third party payer capable of or responsible for their provision?

**Service limits:**

- Homemaker and Chore services are limited to 40 hours per participant per fiscal year when the participant or family member(s) or unpaid caregiver(s) with whom the participant resides is temporarily unable to perform the homemaker/chore functions. A person is considered temporarily unable when the condition or situation that prevents him or her from performing the homemaker/chore functions is expected to improve. There is no limit when the

participant lives independently or with family members or unpaid caregivers who are permanently unable to perform the homemaker/chore functions.

- A person is considered permanently unable when the condition or situation that prevents them from performing the homemaker/chore functions is not expected to improve. The service plan team is responsible to determine whether a person is temporarily or permanently unable to perform the homemaker/chore functions. The service plan team's determination should be documented in the service plan.
- Participants authorized to receive Homemaker/Chore services may not be authorized to receive the following services as Homemaker/Chore tasks are built into the rates for these services: Residential Habilitation Services, Life Sharing or Supported Living.

### **SC documentation requirements:**

- Homemaker/Chore services: The ISP team must determine, and the SC will document in the *Outcome Summary Section* of the ISP, whether a person is temporarily or permanently unable to perform the homemaker functions. See the service limits section for more guidance.
- Homemaker services: The SC will document what the homemaker will be doing and continue to monitor that the tasks are occurring.
- Chore services: The SC will document what the chore service provider will be doing and continue to monitor that the tasks are occurring.
- For rental properties, the SC should examine the lease agreement and document any findings of that examination.

**NOTE:** On July 1, 2019, Homemaker and Chore were assigned separate procedure codes. Previously, this service shared the same procedure code.

### **The procedure code and service unit for Homemaker Services:**

Provider Type **51** - Home & Community Habilitation

Specialties: **431** - Homemaker/Chore Services; **430** - Homemaker Services

Provider Type **54** - Intermediate Services Organization

Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: 1 hour

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7283*</b>	<b>UA</b>	Homemaker (Temporary)	Indirect services including household cleaning and maintenance and homemaker activities. This service may only be provided when the individual, or anyone else in the household, is temporarily incapable of physically performing the function; and no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. All temporary Homemaker and Chore services are limited to 40 hours per fiscal year.  Homemaker, Temporary-1 Hour
<b>W7283*</b>		Homemaker (Permanent)	Indirect services including household cleaning and maintenance and homemaker activities. This service may only be provided when the individual, or anyone else in the household, is permanently incapable of physically performing the function; and no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. There is no limit to the service when the individual lives independently or the caregiver is permanently unable to perform the functions.  Homemaker, Permanent-1 Hour

Modifier UA – Must be used to identify that the Homemaker service is a temporary service.

Service Unit: 1 hour

Provider Type **54**, Intermediate Service Organization

Specialty **540**, ISO-Agency With Choice

<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>U4*</b>	No benefit allowance	This modifier is to be used with the noted procedure codes and modifiers (as appropriate) by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage.  Homemaker Temporary-1 Hour-U4 Homemaker Permanent-1 Hour-U4

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – UA

2<sup>nd</sup> – U4

**The procedure code and service unit for Chore Services:**

Provider Type **51** - Home & Community Habilitation

Specialties: **431** - Homemaker/Chore Services; **430** - Homemaker Services

Provider Type **54** - Intermediate Services Organization

Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: 1 hour

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7282*</b>	<b>UA</b>	Chore (Temporary)	Indirect services needed to maintain the home in a clean, sanitary, and safe condition. This service may only be provided when the individual, or anyone else in the household, is temporarily incapable of physically performing the function; and no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. All temporary Homemaker and Chore services are limited to 40 hours per fiscal year.  Chore, Temporary-1 Hour
<b>W7282*</b>		Chore (Permanent)	Indirect services needed to maintain the home in a clean, sanitary, and safe condition. This service may only be provided when the individual, or anyone else in the household, is permanently incapable of physically performing the function; and no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. There is no limit to the service when the individual lives independently or the caregiver is permanently unable to perform the functions.  Chore, Permanent-1 Hour

Modifier UA – Must be used to identify that the Chore service is a temporary service.

Service Unit: 1 hour

Provider Type **54**, Intermediate Service Organization

Specialty **540**, ISO-Agency With Choice

<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>U4*</b>	No benefit allowance	This modifier is to be used with the noted procedure codes and modifiers (as appropriate) by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage.  Chore, Temporary-1 Hour-U4 Chore, Permanent-1 Hour-U4

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – UA

2<sup>nd</sup> – U4

### **Section 14.13: Housing Transition and Tenancy Sustaining Services**

This service includes pre-tenancy and housing sustaining supports to assist participants in being successful tenants in private homes owned, rented or leased by the participants.

Housing Transition services are direct and indirect services provided to participants. Indirect activities that cannot be billed include driving to appointments, completing service notes and progress notes, and exploring resources and developing relationships that are not specific to a participant's needs, as these activities are included in the rate. The following direct and indirect activities are billable under Housing Transition:

- Conducting a tenant screening and housing assessment that identifies the participant's preferences and barriers related to successful tenancy. The assessment may include collecting information on potential housing transition barriers, and identification of housing retention barriers.
- With the individual, developing an individualized housing support plan based upon the housing assessment that addresses identified barriers, includes short and long-term measurable goals for each issue, establishes the participant's approach to meeting the goal, and identifies when other providers or services, both reimbursed and not reimbursed by Medicaid, may be required to meet the goal.
- Assisting with the housing search process.
- Assisting with the housing application process, including assistance with applying for housing vouchers/applications.
- Identifying resources to cover expenses such as security deposit, moving costs, furnishings, adaptive aids, environmental modifications, moving costs and other one-time expenses.
- Ensuring that the living environment is safe and ready for move-in.
- Assisting in arranging for and supporting the details of the move.
- Developing a housing support crisis plan that includes prevention and early intervention services when housing is jeopardized to assist individuals with planning, locating and maintaining a home of their own.
- Assistance with establishing and building a relationship for community integration.
- Assistance with obtaining and identifying resources to assist the participant with financial education and planning for housing. Activities include assistance with budgeting for house and living expenses. Assistance with completing applications for subsidies or other entitlements such as energy assistance, or public assistance. Assistance with identifying financial resources to assist with housing for the participant including special needs trusts and ABLE accounts.
- Working with the Supports Coordinator and service plan team to identify needed assistive technology (such as home security devices) or home accessibility adaptations, which are necessary to ensure the participant's health and well-being.
- Assistance with coordinating the move from a congregate living arrangement or from a family home to a more independent setting; providing training on how to be a good tenant.
- Working collaboratively with other service providers and unpaid supports.
- Assistance with identifying resources to secure household furnishings and utility assistance. Activities will include identifying and coordinating resources that may assist with obtaining a security deposit, first month rent, or any other costs associated with the transition.

This service is also available to support participants to maintain tenancy in a private home owned, rented or leased by the participant. The availability of ongoing housing-related services in addition to other long term services and supports promotes housing success, fosters community integration and inclusion, and develops a network of relationships. These tenancy support services are:

- Providing early identification and intervention for behaviors that may jeopardize housing, such as late rental payment and other lease violations.
- Education and training on the role, rights and responsibilities of the tenant and landlord.
- Coaching on developing and maintaining key relationships with landlords/property managers with a goal of fostering successful tenancy.
- Assistance with activities such as supporting the participant in communicating with the landlord and/or property manager; developing or restoring interpersonal skills in order to develop relationships with landlords, neighbors and others to avoid eviction or other adverse lease actions; and supporting the participant in understanding the terms of a lease or mortgage agreement.
- Advocacy and linkage with community resources to prevent eviction when housing is, or may potentially become jeopardized.
- Assistance with the housing recertification process.
- Coordinating with the tenant to review, update and modify their housing support and crisis plan on a regular basis to reflect current needs and address existing or recurring housing retention barriers.
- Continuing training in being a good tenant and lease compliance, including ongoing support with activities related to household management.

This service can be delivered in Pennsylvania.

#### **Determining the need for services:**

- Is the participant interested in moving into a home, apartment, condominium, etc., that he or she will own, rent or lease (independently or with roommates)?
  - If yes, does the participant need assistance searching for a home, completing paperwork, locating resources, etc.?
- Is the participant currently residing in a home, apartment, condominium, etc., that he or she owns, rents or leases (independently or with roommates)?
  - If yes, does the participant need support through tenancy sustaining services?

#### **Service limits:**

- Housing Transition and Tenancy Sustaining services are limited to 640 (15-minute) units, which is equal to 160 hours per participant per fiscal year.
- Tenancy support services may not be authorized for participants who are authorized to receive Residential Habilitation, Life Sharing or Supported Living services. Housing Transition services may be authorized when the participant has a plan to move from the home where Residential Habilitation or Life Sharing is provided into a private home that the participant will own, rent or lease.
- Financial support that constitutes a room and board expense is excluded from federal financial participation in the waiver.

**✍ SC documentation requirements:**

- Housing Transition: The SC will document what the service provider will be doing and continue to monitor that the tasks are occurring.
- Tenancy Sustaining Services: The SC will document what the service provider will be doing and continue to monitor that the tasks are occurring.

**The procedure code and service unit for Housing Transition and Tenancy Sustaining Services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **571**, Home Finding

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 16 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Community

Procedure Code	Allowable Modifiers	Service Level	Service Description HCSIS Description
<b>H0043</b>			Pre-tenancy and housing sustaining supports to assist participants in being successful tenants in private homes owned, rented or leased by the participants.  Housing Transition/Tenancy Sustaining services  Staffing Ratio – 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Procedure Code in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

**Section 14.14: In-Home and Community Support**

In-Home and Community Support is a direct service provided in home and community settings to assist participants in acquiring, maintaining and improving the skills necessary to live in the community, to live more independently, and to participate meaningfully in community life. To the extent that In-Home and Community Support is provided in community settings, the settings must be inclusive rather than segregated.

Services consist of assistance, support and guidance (physical assistance, instruction, prompting, modeling, and reinforcement) in the general areas of self-care, health maintenance, decision making, home management, managing personal resources, communication, mobility and transportation, relationship development and socialization, personal adjustment, participating in community functions and activities and use of community resources. The type and amount of assistance, support and guidance are informed by the assessed need for physical, psychological and emotional assistance established through the assessment and person-centered planning processes. The type and amount of assistance are delivered to enhance the autonomy of the participant, in line with his or her personal preferences and to achieve his or her desired outcomes.

The In-Home and Community Support provider must provide the level of services necessary to enable the participant to meet habilitation outcomes. This includes ensuring the following assistance, support and guidance (prompting, instruction, modeling, reinforcement) will be provided to the participant as needed to enable him or her to:

1. Carry out activities of daily living such as personal grooming and hygiene, dressing, making meals, maintaining a clean environment.
2. Learn and develop practices that promote good health and wellness such as nutritious meal planning, regular exercise, carrying through prescribed therapies and exercises, awareness and avoidance of risk including environmental risks, exploitation and abuse; responding to emergencies in the home and community such as fire or injury; knowing how and when to seek assistance.
3. Manage his or her medical care including scheduling and attending medical appointments, filling prescriptions and self-administration of medications, and keeping health logs and records. This may also include assistance, support and guidance in the administration of medications in accordance with applicable regulatory guidance, positioning the participant, taking vital statistics, performing range of motion exercises as directed by a licensed professional, applying prescribed treatments and monitoring for seizure activity.
4. Manage his or her mental health diagnosis and emotional wellness including self-management of emotions such as disappointment, frustration, anxiety, anger, and depression; applying trauma informed care principles and practices; and accessing mental health services. This includes implementation of the Behavior Support component of the plan, the Crisis Intervention component of the plan and/or the Skill Building component of the plan which may involve collecting and recording the data necessary to evaluate progress and the need for revisions to the plan.
5. Participate in the development and implementation of the service plan and to direct the person-centered planning process including identifying who should attend and what the desired outcomes are.
6. Manage his or her home including locating a private home, arranging for utility services, paying bills, routine home maintenance, and home safety.

7. Achieve financial stability through activities such as; managing personal resources, general banking and balancing accounts, record keeping and managing savings accounts and utilizing programs such as ABLE accounts.
8. Communicate with providers, caregivers, family members, friends and others face-to-face and through the use of the telephone, correspondence, the internet, and social media. The service may require knowledge and use of sign language or interpretation for individuals whose primary language is not English.
9. Develop and maintain relationships with members of the broader community (examples include but are not limited to: neighbors, coworkers, friends and family) and to manage problematic relationships.
10. Exercise rights as a citizen and fulfill their civic responsibilities such as voting and serving on juries; attending public community meetings; to participate in community projects and events with volunteer associations and groups; to serve on public and private boards, advisory groups, and commissions, as well as develop confidence and skills to enhance their contributions to the community.
11. Participate in preferred activities of community life such as shopping, going to restaurants, museums, movies, concerts, dances and faith based services.
12. Make decisions including providing guidance in identifying options/choices and evaluating options/choices against a set of personal preferences and desired outcomes. This includes assistance with identifying supports available within the community.
13. Use a range of transportation options including buses, trains, cab services, driving, and joining car pools, etc.
14. Develop his or her personal interests; such as hobbies, appreciation of music, and other experiences the participant enjoys or may wish to discover.
15. Identification of risk to the participant and the implementation of actions such as reporting incidents as required by ODP, the Older Adults Protective Services Act, the Adult Protective Services Act and the Child Protective Service Law, applicable regulations and/or calling emergency officials for immediate assistance.
16. Successfully parent his or her child(ren). This includes assessing parenting competency, as well as modeling and teaching parenting skills such as discipline techniques, child development, health and safety issues and decision-making skills.

In-Home and Community Support may also include elements of Companion services as long as these elements do not constitute more than half of the In-Home and Community Support service.

Staff providing the In-Home and Community Support must be awake during overnight hours for the purpose of performing tasks that require continual assistance as identified in the service plan to ensure medical or behavioral stability and that are able to be performed by a trained non-medically-licensed individual. These tasks include the following:

- Taking vital statistics when monitoring has been prescribed by a licensed professional, such as post-surgical care,
- Positioning,
- Performing range of motion exercises as directed by a licensed professional,
- Administering prescribed medications (other than over the counter medications),
- Applying prescribed treatments,
- Monitoring for seizure activity for a participant with convulsive (grand mal) epilepsy that is not able to be controlled by medication,
- Maintaining the functioning of devices whose malfunction would put the participant at risk of hospitalization, and

- Crisis intervention in accordance with the participant's behavior support plan.

If the participant only needs supervision or assistance with tasks that do not meet the criteria above such as evacuation in the event of an emergency during overnight hours, the appropriate service during this time period is Companion services.

Transportation necessary to enable participation in community activities outside of the home in accordance with the participant's service plan is included in the rate paid to agency providers. Mileage that is needed to enable participation in community activities that exceeds 30 miles on any given day should be authorized on the service plan and billed by the agency as Transportation Mile. Transportation is not included in the wage range for In-Home and Community Support services provided by Support Service Professionals in participant directed services. As such, Transportation services should be authorized and billed as a discrete service. When Transportation services are authorized and billed as a discrete service (regardless of whether the services are delivered by an agency or Support Service Professional) In-Home and Community Support is compensable at the same time for the supervision, assistance and/or care provided to the participant during transportation. In-Home and Community Support services cannot be used to solely transport a participant as this would be considered a Transportation service available in the waiver. The participant must have a need for assistance, guidance or support with tasks while in the home and community locations for which transportation is necessary.

In general, this service is provided in a participant's private home or other community setting. In-Home and Community Support shall not be provided in a licensed setting, unlicensed residential setting or camp. This does not preclude this service from being utilized to assist a participant to volunteer in a nursing facility or hospital or occasionally visit a friend or family member in a licensed setting or unlicensed residential setting.

When In-Home and Community Support is provided to a participant who is younger than 18 years of age, this service may only be used to provide extraordinary care. Relatives and legally responsible individuals are responsible to meet the needs of a participant who is younger than 18 years of age, including the need for assistance and supervision typically required for children at various stages of growth and development. In-Home and Community Support may only be used to meet the exceptional needs of the participant who is under age 18 that are due to his or her disability and are above and beyond the typical, basic care for a child that all families with children may experience.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania. During temporary travel, this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

**Additional Service Definition Clarification:**

- In-Home and Community Support services shall not be rendered in a property or a room owned, rented, or leased by providers with the purpose of providing services solely to individuals with a disability. This does not preclude this service from being utilized to assist an individual to volunteer in a nursing facility or hospital or visit a friend or family member in a licensed setting or unlicensed residential setting.

- There are no restrictions on how many people with disabilities are present at a community location in which In-Home and Community Support is provided. However, we must be careful that we do not create segregated environments and experiences within public spaces.
- Teaching American Sign Language or another form of communication is covered under In-Home and Community Support for adults (participant who are 21 years of age or older) and children (participants who are under the age of 21) who have graduated from high school. There must be documentation for each participant that verifies he or she is deaf and has been assessed as benefitting from learning American Sign Language or another form of communication. The person who will be teaching the individual must be fluent in the communication mode to be taught and meet all other In-Home and Community Support qualification criteria.

**Determining the need for services:**

- Is the outcome of this service for the participant to learn, acquire, maintain and/or improve a skill?
- What are the specific skills the participant needs to acquire maintain or improve?
- Is there a measurable Outcome for habilitation?
- How many units of service are needed and how many units of service can this participant tolerate in a day/week to acquire the skill?
- Enhanced levels of service and the non-enhanced 2:1 level of service where the direct service professional does not have a degree - To determine the ability for a participant to receive enhanced and 2:1 levels of In-Home and Community Support, the following decision tree shall be applied:

### Question 1 - Does the participant have a medical or behavioral support need?

- If NO - STOP. Enhanced and 2:1 levels of service are not supported for the participant
- If YES - Proceed to Question 2 for enhanced levels of service. Proceed to Question 3 for the non-enhanced 2:1 level of service.

### Question 2 (this question only applies for enhanced levels of service) - Is the participant's medical or behavioral need:

1) Severe enough that it cannot be met through the service definition as written, i.e. requires specific behavioral or medical support to access the service as written in the service definition specifications?

AND / OR

2) Of a nature that it must be met by someone with one of the licenses, certificates, or degrees specified in the qualifications?

- If NO – STOP. Enhanced levels of service are not supported for the participant.
- If YES – Enhanced levels of service are supported for the participant. Proceed to Question 3 for 2:1 enhanced levels of staffing. Add 1:1 Enhanced levels of service to the ISP.

### Question 3 (applies to both levels of 2:1 staffing, non-enhanced and enhanced) - Was a *Waiver Variance Form* completed and approved for Enhanced Levels of Service in accordance with ODP's Variance Process?

- If NO – 2:1 levels of service (enhanced or non-enhanced) may not be added to the ISP.
- If YES – Enhanced and 2:1 levels of service may be added to the ISP.

### Service limits:

- Consolidated Waiver Only - A participant may be authorized for a maximum of 14 hours per day of the following services (whether authorized alone or in combination with one another):
  - In-Home and Community Support.
  - Companion.
  - Community Participation Supports.

A variance may be made to the 14 hour per day limitation in accordance with ODP policy when the participant has a physical health, mental health or behavioral need that requires services be provided more than 14 hours per day.

- In-Home and Community Support services that are authorized on a service plan may be provided by relatives and legal guardians of the participant. When this occurs, any one relative or legal guardian may provide a maximum of 40 hours per week of authorized In-Home and Community Support or a combination of In-Home and Community Support and Companion (when both services are authorized in the service plan). Further, when multiple relatives/legal guardians provide the service(s) each participant may receive no more than 60 hours per week of authorized In-Home and Community Support or a combination of In-Home and Community Support and Companion (when both services are authorized in the service plan) from all relatives/legal guardians. An exception may be made to the limitation on the number of hours of In-Home and Community Support and Companion provided by relatives and legal guardians at the discretion of the employer if there is an emergency or an unplanned departure of a regularly scheduled worker for up to 90 calendar days in any fiscal year.
- Participants who are authorized to receive Residential Habilitation, Life Sharing or Supported Living services may not be authorized to receive In-Home and Community Support.
- In-Home and Community Support services may not be provided at the same time as the direct provision of any of the following: Respite (15-minute and Day); Companion; Community Participation Support; Small Group Employment; Supported Employment; job acquisition and job retention in Advanced Supported Employment and Shift Nursing.
- To the extent that any listed services are covered under the state plan, including EPSDT, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.
- Enhanced services by a licensed nurse (1:1 Enhanced or 2:1 Enhanced, where one of the staff members is a nurse) can only be provided to adult participants (participants age 21 and older). All medically necessary nursing services for children under age 21 are covered through Medical Assistance pursuant to the EPSDT benefit.

#### **SC documentation requirements:**

- The Outcomes section of the ISP must include the assistance, support and guidance (prompting, instruction, modeling, reinforcement) the participant needs as part of this service.
- For 2:1 staffing (both enhanced and non-enhanced), the participant's behavioral or medical need for this level of staffing must be documented in the ISP.
- For enhanced levels of service (2:1 and 1:1), the participant's behavioral or medical need for this level of staffing as well as the license(s), certificate(s) or degree(s) that direct service professionals must possess to provide the enhanced level(s) of service must be documented in the ISP.

#### **The procedure codes, modifiers, and service units for In-Home and Community Support Services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **510** – Home & Community Habilitation

Provider Type **54** – Intermediate Service Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Provider type 51 may submit a claim for all the procedure codes listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below).

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7058</b>		Basic	The provision of the service at a staff-to-individual ratio range of 1:3. In-Home & Commnty Supprts (Basic)
<b>W7059</b>		Level 1	The provision of the service at a staff-to-individual ratio range of 1:2. In-Home & Commnty Supprts (Lvl 1)
<b>W7060*</b>		Level 2	The provision of the service at a staff-to-individual ratio of 1:1. In-Home & Commnty Supprts (Lvl 2)
<b>W7061*</b>		Level 2 Enhanced	The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is degreed. In-Home & Commnty Supprts (Lvl 2 Enh)
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is a licensed nurse. In-Home & Commnty Supprts (Lvl 2 Enh) RN or LPN
<b>W7068*</b>		Level 3	The provision of the service at a staff-to-individual ratio of 2:1. In-Home & Commnty Supprts (Lvl 3)
<b>W7069*</b>		Level 3 Enhanced	The provision of the service at a staff-to-individual ratio of 2:1 with one staff member who is certified or has a bachelor's degree or is a nurse and one staff member with at least a high school diploma. In-Home & Commnty Supprts (Lvl 3 Enh)
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 2:1 with one staff member who is a nurse and one staff member with at least a high school diploma. In-Home & Commnty Supprts (Lvl 3 Enh) RN or LPN
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier

			prior to a contract being created in HCSIS for the service with the U1 modifier.
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Modifier TD – Must be used when the service is provided by a Registered Nurse (RN).

Modifier TE – Must be used when the service is provided by a Licensed Practical Nurse (LPN).

Service Unit: 15 minutes

Provider Type **54** - Intermediate Service Organization

Specialty **540** - ISO-Agency with Choice

Allowable Modifiers	Service Level	Service Description
<b>U4*</b>  Only used with W7060 W7061 W7061 TD or TE W7068 W7069 W7069 TD or TE	No benefit allowance	This modifier is to be used with the noted procedure codes and modifiers (as appropriate) by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage. If a nurse renders the service, the modifier is used after the TD or TE modifier when submitting a claim.
<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Agency With Choice modifier in this table for the direct provision of this service. It signifies that the participant has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – TD or TE

2<sup>nd</sup> - U1

**OR**

1<sup>st</sup> – TD or TE

2<sup>nd</sup> – U4

**OR**

1<sup>st</sup> – U4

2<sup>nd</sup> – U1

**Section 14.15: Music Therapy, Art Therapy and Equine Assisted Therapy**

Direct therapy services provided to a participant who may or may not have a primary diagnosis of mental illness, but who could benefit by the provision of therapy to maintain, improve or prevent regression of the participant's condition and assist in the acquisition, retention or improvement of skills necessary for the participant to live and work in the community. Services and intended benefit must be documented in the service plan. Therapy services consist of the following individual therapies that are not primarily recreational or diversionary:

- Art Therapy;
- Music Therapy; and
- Equine Assisted Therapy.

The initial session of Music Therapy, Art Therapy or Equine Assisted Therapy must include an assessment of the participant's need for the service. If additional sessions are indicated following the assessment of need, therapists providing these services must develop a treatment plan that reflects individualized, attainable goals to be achieved during the remaining sessions.

Music Therapy and Art Therapy can only be provided to adult participants (participants age 21 and older). All Music Therapy and Art Therapy for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Music Therapy and Art Therapy may only be funded for adult participants through the Waiver if documentation is secured by the Supports Coordinator that shows the service is medically necessary and either not covered by the participant's insurance, insurance limitations have been reached, or the service is not covered by Medical Assistance or Medicare or limitations for Medical Assistance or Medicare have been reached. To the extent that any listed services are covered under the state plan, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.

Equine Assisted Therapy can be provided to participants of any age as it is not covered by Medical Assistance. For school age participants, Supports Coordinators must document that Equine Assisted Therapy is not covered through the participant's individualized education plan (IEP) or through the participant's insurance (if the participant has private insurance coverage in addition to Medical Assistance).

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

**Determining the need for services:**

- Could the participant benefit from the provision of therapy to maintain, improve or prevent regression of his or her condition and assist in the acquisition, retention or improvement of skills necessary for the participant to live and work in the community?
- What does the treatment plan developed by the provider recommend in regard to additional sessions?

**Service limit:**

- Participants authorized to receive Residential Habilitation, Life Sharing or Supported Living may not be authorized to receive Music Therapy, Art Therapy, or Equine Assisted Therapy.

- Music Therapy, Art Therapy and Equine Assisted Therapy may not be provided at the same time as the direct provision of the following: Community Participation Support; Small Group Employment; Supported Employment; Advanced Supported Employment; Benefits Counseling; 15-minute unit Respite; Transportation; Therapies; Education Support and Consultative Nutritional Services.
- The cumulative maximum limit of any combination of Music Therapy, Art Therapy, or Equine Assisted Therapy is 104 (15-minute) units which is equal to 26 hours per participant per fiscal year.

#### SC documentation requirements:

- Services and intended benefit must be documented in the ISP.
- Music Therapy and Art Therapy may only be funded for adult participants through the Waiver if documentation is secured by the Supports Coordinator that shows the service is medically necessary and either not covered by the participant's insurance, insurance limitations have been reached, or the service is not covered by Medical Assistance or Medicare or limitations for Medical Assistance or Medicare have been reached.
- For school age participants, Supports Coordinators must document that Equine Assisted Therapy is not covered through the participant's individualized education plan (IEP) or through the participant's insurance (if the participant has private insurance coverage in addition to Medical Assistance).

#### The procedure code, modifiers, and service units for Music Therapy, Art Therapy and Equine Assisted Therapy:

##### Music Therapy

Provider Type **17** – Therapist  
Specialty **175** – Music Therapist

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;

Base Funding: 21-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>G0176</b>	<b>SE</b>	Music Therapy	Direct services provided to a participant who could benefit by the provision of therapy to maintain, improve or prevent regression of the participant's condition and assist in the acquisition, retention or improvement of skills necessary for the participant to live and work in the community.  Music Therapy  Staffing Ratio 1:1

	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.
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Modifier SE – Must be used to identify that Music Therapy is being provided.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – SE

2<sup>nd</sup> - U1

### **Art Therapy**

Provider Type **17** – Therapist  
Specialty **174** – Art Therapist

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;

Base Funding: 21-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description HCSIS Description</b>
<b>G0176</b>		Art Therapy	Direct services provided to a participant who could benefit by the provision of therapy to maintain, improve or prevent regression of the participant's condition and assist in the acquisition, retention or improvement of skills necessary for the participant to live and work in the community.  Art Therapy  Staffing Ratio – 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

**Equine Assisted Therapy**

Provider Type **17** – Therapist  
 Specialty **169** – Equine Assisted Therapy

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>S8940</b>		Equine Assisted Therapy	Direct services provided to a participant who could benefit by the provision of therapy to maintain, improve or prevent regression of the participant's condition and assist in the acquisition, retention or improvement of skills necessary for the participant to live and work in the community.  Equine Assisted Therapy  Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

### **Section 14.16: Participant-Directed Goods and Services (Community Living, P/FDS Waivers Only)**

Participant-Directed Goods and Services are services, equipment or supplies not otherwise provided through other services offered in this waiver, the Medicaid State Plan, or a responsible third party. Participant-Directed Goods and Services must address an identified need in the participant's service plan and must achieve one or more of the following objectives:

- Decrease the need for other Medicaid services.
- Promote or maintain inclusion in the community.
- Promote the independence of the participant.
- Increase the participant's health and safety in the home environment.
- Develop or maintain personal, social, physical or work-related skills.
- Items and services must be used primarily for the benefit of the participant.

Participant-Directed Goods and Services may not be used for any of the following:

- Personal items and services not related to the participant's intellectual disability or autism;
- Experimental or prohibited treatments;
- Entertainment activities, including vacation expenses, lottery tickets, alcoholic beverages, tobacco/nicotine products, movie tickets, televisions and related equipment, and other items as determined by the Department; or
- Expenses related to routine daily living, including groceries, rent or mortgage payments, utility payments, home maintenance, gifts, pets (excluding service animals), and other items as determined by the Department.
- Items and services that are excluded from receiving Federal Financial Participation, including but not limited to room and board payments which include the purchase of furnishings and services provided while a participant is an inpatient of a hospital, nursing facility, or ICF/ID.

#### **Additional Service Definition Clarification**

- Participant-Directed Goods and Services are only available for participants who choose to self-direct this and/or other services through one of the participant-directed services models; agency with choice or vendor/fiscal employer agent. Participant-Directed Goods and Services may be the only service that a participant chooses to self-direct. When a participant seeks to receive Participant-Directed Goods and Services, SCs are expected to examine and discuss the possibility of self-directing other services with the participant, and use Participant-Directed Goods and Services as a vehicle to promote self-direction in general. This clarification aligns with the *Everyday Lives: Values In Action* recommendation to promote self-direction, choice and control.

#### **Determining the need for services:**

- What is/are the objective(s) of the Participant-Directed Goods and Services? Do the objectives align with the service definition requirement?
- Is the good or service covered through another service in the Community Living or P/FDS waiver, Medical Assistance or another responsible third party?

**Service limit:**

- Participant-directed Goods and Services are limited to \$2,000 per participant per fiscal year.

**✍ SC documentation requirements:**

- The good or service that will be purchased and the objective the good or service will achieve must be documented in the ISP.

**The procedure code, modifiers, and service units for Participant-Directed Goods and Services:****Participant-Directed Goods and Services**

Provider Type **54** - Intermediate Services Organization

Specialties: **541** - ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below.)

Service Unit: Vendor Based Goods and Services

Age Limits & Funding:

P/FDS Waiver: 0-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>T5999*</b>	<b>SE</b>	Participant-Directed Goods and Services	Services, equipment and supplies not otherwise provided that promote the participant's independence and inclusion in the community. Participant-Directed Goods and Services

**Modifier SE – Must be used to denote that this is an ODP service.**

### **Section 14.17: Residential Services (Consolidated and Community Living Waivers Only)**

Residential services for ODP include Residential Habilitation, Life Sharing and Supported Living. The service definitions for each of these services encompass a full range of supports and services necessary to meet each participant's needs. The service definitions for residential services are broad to support the full range of activities that occur in a participant's home such as personal care, cooking, interaction with housemates, developing relationships, participating in the ISP, budgeting and banking, activities in the community, etc. The definitions enable providers to provide nursing, behavioral support, a full range of therapies, and the level of trained direct support staff needed based on each participant's needs.

**NOTE:** These services are offered to individuals enrolled in the Consolidated Waiver:

- Residential Habilitation
- Life Sharing
- Supported Living

These services are offered to individuals enrolled in the Community Living Waiver:

- Unlicensed Residential Habilitation
- Life Sharing (only for Needs Groups 1 and 2 (1 and 2 person homes), Needs Group 3 in a 2-person home only, and participants who need less than 30 hours of service per week on average)
- Supported Living (Needs Groups 1 and 2 only)

#### **Needs Groups and Needs Level**

The Needs Group (NG) and Needs Level are terms added to the waivers for FY 2017-2018. The Needs Level represents the needs level of a participant derived from the Supports Intensity Scale, known as SIS. There are seven (7) Needs Levels. The Needs Group represents Needs Level groupings.

After in-depth data analysis, certain Needs Levels were found to strongly correlate with one another and, thus, were placed in groupings. For example, individuals who have been assessed with a SIS Needs Level 3 or 4, have been found to have very similar levels of need and; therefore, are assigned to the same Needs Group, which, in this example, would be Needs Group 3. The relationship between the Needs Group and Needs Level is as follows:

<b>Needs Level</b>	<b>Needs Group</b>	<b>Represented in HCSIS Service Description</b>	<b>Modifier</b>
1	1	NG 1	U5
2	2	NG 2	U6
3 and 4	3	NG 3	U7
5, 6 and 7	4	NG 4	U8

Four modifiers will be used to represent the Needs Group associated with the participant. This means that each participant residing in the home could have a different modifier (and rate) based upon his or her specific Needs Group. These modifiers will be attached to the Residential Habilitation, Life Sharing, Supported Living and licensed Respite day procedure codes and

should be used when billing services that use a Needs Group. The modifiers will be visible on the Service Detail screen in HCSIS.

### **Residential Services: Determining When a Participant Needs Behavioral Supports**

The services of a behavioral specialist are needed when:

- The participant is exhibiting behavior that is problematic for them and those they live with; and
- The residential team does not have an effective strategy to support the participant through environmental adaptation or the regular activities of direct service professionals.

And/Or

- The participant has a mental health diagnosis and needs support to monitor and address the symptoms, to differentiate those symptoms from other causes of problematic behavior, and to communicate with treating clinicians.

Challenging behavior can arise as a new concern, or can be a change from the participant's usual baseline, or can be a reflection of the participant's changing needs.

The team in the residential agency and/or the participant's support team or ISP team can determine that those supports are needed and the residential provider can begin providing them at any time, since it will no longer be necessary to revisit the ISP or request the service from the Supports Coordinator. If, at the time of the ISP, an unresolved behavioral issue is raised, then the ISP team should discuss the need for behavioral support within the residential agency.

### **Expectations for Behavioral Support Plans**

General expectations regarding behavioral support activities and plans are outlined in the Behavioral Support service definition and are applicable within residential services as best practice.

During initial behavioral support plan development the behavioral specialist must:

- a. Conduct a comprehensive assessment of behavior and its causes and an analysis of assessment findings of the behavior(s) to be targeted so that an appropriate behavioral support plan may be designed;
- b. Collaborate with the participant, his or her family, and his or her ISP team for the purpose of developing a behavioral support plan that must include positive practices and least restrictive interventions. The behavioral support plan may not include physical, chemical or mechanical restraints as support strategies;
- c. Develop an individualized, comprehensive behavioral support plan consistent with the outcomes identified in the participant's ISP, within 60 days of the start date of the Behavioral Support service;
- d. Develop a crisis intervention plan that will identify how crisis intervention support will be available to the participant, how the Supports Coordinator and other appropriate waiver service providers will be kept informed of the precursors of the participant's challenging behavior, and the procedures/interventions that are most effective to deescalate the challenging behaviors;
- e. Upon completion of initial plan development, meet with the participant, the Supports Coordinator, others as appropriate, including family members, providers, and employers to

explain the behavioral support plan and the crisis intervention plan to ensure all parties understand the plans;

- f. Follow the guidance in Section 7 of this manual when restrictive procedures will be used;
- g. Conduct training and support related to the implementation of behavioral support plans for the participant, family members, staff and caregivers;
- h. Implement activities and strategies identified in the participant's behavioral support plan, which may include providing direct behavioral support, educating the participant and supporters regarding the underlying causes/functions of behavior and carrying out interventions;
- i. Monitor implementation of the behavioral support plan, and revise as needed; and
- j. Complete required paperwork related to data collection, progress reporting and development of annual planning material.

The primary role of the Behavior Support Staff is to identify and transfer skills to direct service staff to aid them in more effectively supporting participants. Some of the goals of the Behavior Support Staff are to capture behavioral needs through formalized assessment strategies, develop and monitor data tracking documentation, identify recommended interventions, describe crisis intervention strategies to help manage dangerous or at-risk behavior, train direct support staff in the implementation of behavioral strategies, and when necessary, develop restrictive procedure components of the behavioral support plan.

For additional information about the transition of behavioral supports in residential services, please see [ODP Announcement 111-17: Guidance for Supports Coordinators and Administrative Entities for the Transition of Behavioral Supports for People Who Receive Residential Services in the Consolidated Waiver](#)

### SC documentation requirements:

Summary of the behavioral support plan in the section of the ISP to include:

- Current need for Behavioral Support.
- The formal or informal needs assessment that establishes the need for Behavioral Support.
- A summary of the findings of the Functional Behavioral Assessment
- Specific activities that the behavioral support professional will be completing to support the outcome of the Behavioral Support service.
- Training expectations for staff supporting the participant.
- Documentation related to direct and indirect activities:
  - Specific Crisis Intervention strategies to address dangerous or at-risk behaviors.
  - Information indicated in Section 7 of this manual when a restrictive intervention will be/is used.

If restrictive procedures are being used the SC must check the “Restrictive Procedure” box in Behavioral Support Plan screen.

\*The **Health and Safety: Crisis Support Plan** section of the ISP should be utilized to describe back-up plans for supporting the individual in the event of staffing or other site emergencies.

**Guidance Regarding Day Units**

All residential services are authorized as a day unit.

A day is defined as a period of a minimum of 8 hours of non-continuous care rendered by a residential provider within a 24-hour period beginning at 12:00 a.m. and ending at 11:59 p.m.

There are two exceptions to the day unit rule as follows:

1. When a participant is admitted to a hospital or nursing facility the residential provider may not bill for the day the participant is admitted regardless of how many hours of care the residential provider has rendered during the 24-hour period. When the participant is discharged from a hospital or nursing facility the residential provider may bill for the discharge day of service regardless of how many hours of care the residential provider has rendered during the 24-hour period.
2. When a participant is receiving residential services from one provider and is transitioning from that provider to a new residential services provider, only the current residential provider that the participant is transitioning away from can bill for the day that the transition occurs regardless of the number of hours of service rendered by either provider.

For residential services that average less than 30 hours per week of direct support, and assuming that the participant either does not require daily support or that some level of daily support is provided through family, friends or others on an unpaid basis, a day unit is defined as a period of a minimum of 8 hours of non-continuous care which may include on-call support or remote monitoring.

**Guidance Regarding Description of Staff Support in the ISP**

ISP teams should use person-centered thinking skills to discuss each participant's risk factors and ways to mitigate those risks including what technology, environmental, and staff supports will be provided to mitigate those risk(s) during specific activities and situations. The emphasis and conversation is around why the supports are being provided; not the number of hours and people, but the reason why staff are there.

The Know and Do section of the ISP describes WHAT the staff need to know to assist the person to stay healthy and safe AND makes the clear connection to HOW to do it. This is at the core of the revised Residential ISP Staffing approach.

More information about residential staffing ratios, including webinars and other resources, can be found at:

- Residential ISP Staffing: It's about the Person, Not the Numbers  
<https://www.myodp.org/course/view.php?id=1513>
- Addressing Day to Day Risks with the Team  
<https://www.myodp.org/course/view.php?id=404>

### **Intensive Staffing, Supplemental Habilitation**

In emergency situations or to meet a participant's temporary medical or behavioral needs, participants authorized to receive residential services may also be authorized to receive Supplemental Habilitation for no more than 90 calendar days unless a variance is granted by the AE. See [Bulletin 00-18-06, Variance Form and Process](#), for complete instructions for submitting requests for Supplemental Habilitation.

With an approved variance, Supplemental Habilitation at a 1:1 or 2:1 staff to participant ratio is available for participants receiving licensed Residential Habilitation, licensed Life Sharing or Supported Living services. Supplemental Habilitation staffing should only be authorized for temporary medical or behavioral needs that cannot be met as part of the usual residential staffing pattern.

### **Determining the need for Supplemental Habilitation Services:**

- Supplemental Habilitation staffing should only be authorized for temporary medical or behavioral needs that cannot be met as part of the usual residential staffing pattern.

### **Service Limits:**

- Supplemental Habilitation must be authorized separately by the AE.
- Supplemental Habilitation can be extended beyond 90 days for the following reasons:
  - Injury or illness that requires a more extended period of staff support than expected but projected to be less than an additional 90 days.
  - Mental health, behavioral or medical support needs have diminished but not eliminated the need for some additional staff support.
  - During the initial 90-day period, the person has experienced a change in status such as an injury, illness or an increase in dangerous behaviors or a criminal justice system imposed requirement.
  - Acute condition or support need has persisted, is not expected to reduce through the temporary addition of support, and a new SIS has now been requested.

For an extension of Supplemental Habilitation, the following conditions must be met:

- The provider has a formal plan for discontinuance of Supplemental Habilitation.
- Current documentation is available from a healthcare provider outlining the mental health, behavioral or medical support condition and related support needs.

### **SC documentation requirements**

- Supplemental Habilitation is used to temporarily meet the **short-term** unique *behavioral* or *medical* needs of a participant who receives licensed Residential Habilitation, licensed Life Sharing or Supported Living services funded through the Consolidated or Community Living Waiver.
- The individual's ISP must include a Consolidated or Community Living Waiver-Funded residential service procedure code and a Supplemental Habilitation procedure code.

### **The procedure codes and service unit for Supplemental Habilitation:**

Provider Type **52**, Community Residential Rehabilitation

Specialties: **520**, Child Residential Services-3800; **456**, CRR-Adult; **522**, Family Living Homes-6500; **521**, Adult Residential-6400; **524**, Unlicensed

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated and Community Living Waivers: 0-120 years

Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7070</b>		Supplemental Habilitation	The provision of 1:1 staffing for habilitation to supplement the basic licensed Residential Habilitation, licensed Life Sharing or Supported Living service to meet the short-term unique behavioral or medical assessed needs of the individual. Supplemental Habilitation 1:1 - 15 min
<b>W7084</b>		Supplemental Habilitation	The provision of 2:1 staffing for habilitation to supplement the basic licensed Residential Habilitation, licensed Life Sharing or Supported Living service to meet the short-term unique behavioral or medical assessed needs of the individual. Supplemental Habilitation 2:1 - 15 min
	<b>U1</b>		Enhanced Communication Service – This modifier can be utilized with all of the Waiver Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

## Life Sharing

Life Sharing services are direct and indirect, provider agency managed services that occur in one of the following locations:

- *Private home of a host family.* The host family can be the participant's relative(s), legal guardian, or persons who are not related to the participant.
- *Private home of the participant where a host family who is not related to the participant moves into the participant's home and shares the participant's home as their primary residence.*

### **For the purposes of Life Sharing the following definitions apply:**

*Relative* - All relatives may provide Life Sharing services. In accordance with 55 Pa. Code § 6500.4, a host home that is owned, rented, or leased by a parent, child, stepparent, stepchild, grandparent, grandchild, brother, sister, half-brother, half-sister, aunt, uncle, niece or nephew does not need to be licensed. Relatives whose relationship to the participant are not specified in this list may require licensure based on the amount of care the participant requires as specified at 55 Pa. Code § 6500.3(f)(5).

When Life Sharing is provided by a relative to a participant who is younger than 18 years of age, this service may only be used to provide extraordinary care. A relative is responsible to meet the needs of a participant who is younger than 18 years of age, including the need for assistance and supervision typically required for children at various stages of growth and development. A relative can, however, receive payment for Life Sharing services when this support goes beyond what would be expected to be performed in the usual course of parenting, and when needed support exceeds what is typically required for a child of the same age.

Further, the provider agency must develop a pre-service agreement with relatives that states the Life Sharing program requirements that the relative(s) must comply with to be a host family and the conditions that will result in termination of the relative(s) as a host family from the Life Sharing program.

*Private home* - A home that is owned, rented or leased by the participant or the host family. Homes owned, rented or leased by a provider are not private homes. Homes owned, rented or leased by a provider and subsequently leased to a participant or his or her relatives are also not private homes.

*Host family* - One or more persons with whom the participant lives in a private home. The host family is responsible for, and actively involved in, providing care and support to the participant in accordance with the service plan.

This service is built on the principle that every participant has the capacity to engage in lifelong learning. As such, through the provision of this service, participants will acquire, maintain, or improve skills necessary to live in the community, to live more independently, and to participate meaningfully in community life. To the extent that Life Sharing is provided in community settings outside of the residence, the settings must be inclusive rather than segregated.

Services consist of assistance, support and guidance (physical assistance, instruction, prompting, modeling, and reinforcement) in the general areas of self-care, health

maintenance, decision making, home management, managing personal resources, communication, mobility and transportation, relationship development and socialization, personal adjustment, participating in community functions and activities and use of community resources.

Life Sharing services may be provided up to 24 hours a day based on the needs of the participant receiving services. The type and amount of assistance, support and guidance are informed by the assessed need for physical, psychological and emotional assistance established through the assessment (including the Health Risk Screening Tool) and person-centered planning processes. The type and amount of assistance are delivered to enhance the autonomy of the participant, in line with their personal preference and to achieve their desired outcomes.

Life Sharing services are often the primary residence of the participant and as such, it is his or her home. Respect for personal routines, rhythms, rights, independence, privacy and personalization are intrinsic to the service as is access to experiences and opportunities for personal growth.

The Life Sharing provider must provide the level of services necessary to enable the participant to meet habilitation outcomes. This includes ensuring assistance, support and guidance (prompting, instruction, modeling, reinforcement) will be provided as needed to enable the participant to:

1. Carry out activities of daily living such as personal grooming and hygiene, dressing, making meals and maintaining a clean environment.
2. Learn and develop practices that promote good health and wellness such as nutritious meal planning, regular exercise, carrying through prescribed therapies and exercises, awareness and avoidance of risk including environmental risks, exploitation or abuse; responding to emergencies in the home and community such as fire or injury; knowing how and when to seek assistance.
3. Manage or participate in the management of his or her medical care including scheduling and attending medical appointments, filling prescriptions and self-administration of medications, and keeping health logs and records.
4. Manage his or her mental health diagnosis and emotional wellness including self-management of emotions such as disappointment, frustration, anxiety, anger, and depression; applying trauma informed care principles and practices; and accessing mental health services. The service should include: a comprehensive behavior assessment; design, development and updates to a behavior support plan that includes positive practices and least restrictive interventions; development of a Crisis Intervention Plan; and implementation of the behavior support plan, Crisis Intervention Plan and/or the skill building plan which involve collecting and recording the data necessary to evaluate progress and the need for plan revisions.
5. Participate in the development and implementation of the service plan and direct the person-centered planning process including identifying who should attend and what the desired outcomes are.
6. Make decisions in identifying options/choices and evaluating options/choices against a set of personal preferences and desired outcomes. This includes assistance with identifying supports available within the community.
7. Manage his or her home; including arranging for utility services, paying bills, home maintenance, and home safety.

8. Achieve financial stability through managing personal resources, general banking and balancing accounts, record keeping and managing savings accounts and utilizing programs such as ABLE accounts.
9. Communicate with providers, caregivers, family members, friends and others face-to-face and through the use of the telephone, correspondence, the internet, and social media. The service may require knowledge and use of sign language or interpretation for individuals whose primary language is not English.
10. Use a range of transportation options including buses, trains, cab services, driving, and joining car pools, etc. Life Sharing providers are responsible to provide transportation to activities related to health, community involvement and the participant's service plan. The Life Sharing provider is not responsible for transportation for which another provider is responsible.
11. Develop and manage relationships with individuals residing in the same home as appropriate, share responsibilities for shared routines such as preparing meals, eating together, carrying out routine home maintenance such as light cleaning, planning and scheduling shared recreational activities and other typical household routines, resolving differences and negotiating solutions.
12. Develop and maintain relationships with members of the broader community and to manage problematic relationships.
13. Exercise rights as a citizen and fulfill their civic responsibilities such as voting and serving on juries; attending public community meetings; to participate in community projects and events with volunteer associations and groups; to serve on public and private boards, advisory groups, and commissions, as well as develop confidence and skills to enhance their contributions to the community.
14. Develop personal interests, such as hobbies, appreciation of music, and other experiences the individual enjoys or may wish to discover.
15. Participate in preferred activities of community life such as shopping, going to restaurants, museums, movies, concerts, dances and faith based services.

The Life Sharing provider is responsible for identification of risks to the participant and the implementation of actions such as reporting incidents as required by ODP, the Older Adults Protective Services Act, the Adult Protective Services Act and the Child Protective Services Law, and/or calling emergency officials for immediate assistance. The Life Sharing provider is also responsible for providing physical health maintenance services including those required by a licensed nurse when required to assure health and wellness or as required in the service plan.

Life Sharing services include the support of a life sharing specialist for each participant with overall responsibility for supporting the participant and the host family in the life sharing relationship. The life sharing specialist provides oversight and monitoring of the habilitative outcomes, health and wellness activities, ongoing assessment of supports and needs of the participant as identified in the service plan, as well as coordination of support services, such as relief, for the host family.

The Life Sharing provider agency must ensure that each participant has the right to:

1. Receive scheduled and unscheduled visitors, and to communicate and meet privately with individuals of their choice at any time as would be typical for any individual in the home.
2. Send and receive mail and other forms of communication, unopened and unread by others.
3. Have unrestricted and private access to telecommunications.
4. Manage and access his or her own finances.

5. Choose any individual with whom they will be sharing a bedroom.
6. Furnish and decorate his or her bedroom and to participate in decisions relating to furnishing and decorating the common areas of the home.
7. Lock his or her bedroom door.
8. Have a key to an entrance door of the home.
9. Decide what to eat, decide when to eat and have access to food at any time.
10. Make informed health care decisions.

Life Sharing services may only be used to meet the exceptional needs of the participant who is under age 18 that are due to his or her disability and are above the typical, basic care for a child that all families with children may experience.

**Additional Service Definition Clarification:**

- The Respite limitations outlined in the Consolidated and Community Living Waivers apply to participants in Life Sharing. A participant in licensed Life Sharing does not have to receive Respite in a licensed home. The participant can use any type of Respite that meets his or her needs and is agreed upon by the ISP team. If the Respite is being provided in a Life Sharing home (licensed or unlicensed), then the appropriate service to authorize is “24 Hour Respite (In-Home Respite and Unlicensed Out-of-Home Respite Services)” procedure codes which in HCSIS reads as “Respite-Unlic-Day” (W9795-W9801).

**Determining the need for services:**

- Is the participant interested in sharing his or her life with a host family either in the private home of the participant or the host family’s home?
- Could the participant’s needs best be met through the flexibility and agency support (including life sharing specialists) offered through Life Sharing?
- Does the participant have behavioral support needs or nursing needs?
  - If yes, is the Life Sharing provider meeting those needs?

**Service limits:**

- Life Sharing services must be delivered in Pennsylvania. During temporary travel, however, this service may be provided other locations per the ODP travel policy.
- No more than 4 people unrelated to the host family can reside in a private home where Life Sharing services are provided. No more than 2 people may receive Life Sharing services in a private home.
- This service is billed as a day unit and may be provided at the following levels (Consolidated and Community Living waivers, unless otherwise noted):
  - Needs Group 1
  - Needs Group 2
  - Needs Group 3 (in the Community Living Waiver, in a 2-person home)
  - Needs Group 4 (Consolidated Waiver only)
- The following Residential Enhanced Staffing add-on may be utilized for individuals receiving licensed Life Sharing services:
  - The provision of Supplemental Habilitation staffing in emergency situations or to meet a participant’s temporary medical or behavioral needs. Supplemental

Habilitation staff can be authorized for no more than 90 calendar days unless a variance is approved by the AE.

- Room and board is not included in the rate for the Life Sharing service. Life Sharing provider agencies should collect room and board payments in accordance with regulatory requirements. Life Sharing may not be provided when the host family is also a foster home for the participant.

Participants authorized to receive Life Sharing services:

- Are not precluded from receiving Assistive Technology, but may not receive the remote monitoring component. Remote Monitoring is intended to reduce the participant's need for direct support that would typically be provided as part of the Life Sharing service. As such, Remote Monitoring is built into the Life Sharing rate and cannot be authorized as a discrete service. Any use of Independent Living Technology must comply with 42 CFR 441.301 (c)(4)(vi)(A) through (D) related to privacy, control of schedule and activities and access to visitors.
- May receive Vehicle Accessibility Adaptations when vehicle being adapted and utilized by the participant is not owned, leased or rented by the Life Sharing provider.
- May not be authorized to receive Supports Broker services unless the participant has a plan to self-direct his or her services through a participant-directed services model in a private residence.
- May not be authorized to receive Housing Transition and Tenancy Sustaining Services – Tenancy Support. Housing Transition services may be authorized when the participant has a plan to move from the home where Life Sharing is provided into a private home that the participant will own, rent or lease.
- The following services may not be authorized for participants who receive Life Sharing services: Residential Habilitation; Supported Living; Companion; Homemaker/Chore; Music, Art and Equine Assisted Therapy; Specialized Supplies; In-Home and Community Supports; Family/Caregiver Training and Support and Consultative Nutritional Services. Transportation is included in the rate and may not be billed as a discrete service, unless the transportation is to or from a job that meets the definition of competitive integrated employment and that need is documented in the participant's service plan. The rate will include Behavioral Support. Behavioral Support may only be authorized as a discrete service when it is used to support a participant to access Community Participation Support or to maintain employment when provided at the participant's place of employment. Communication Specialist and Shift Nursing can only be authorized in limited circumstances; reference those service definitions for the exceptions.
- All private homes in which Life Sharing are provided must be integrated and dispersed in the community in noncontiguous locations, and may not be located on campus settings. To meet this requirement, the location of each home in which Life Sharing is provided must be separate from any other ODP-funded residential setting and must be dispersed in the community and not surrounded by other ODP-funded residential settings. Homes that share only one common party wall are not considered contiguous. Any home in which Life Sharing is provided should be located in the community and surrounded by the general public. New homes where Life Sharing will be provided or changes to existing homes where Life Sharing will be provided must be approved by ODP or its designee utilizing the ODP residential habilitation setting criteria.

- Life Sharing may not be provided in a home enrolled on or after February 1, 2020, that is adjacent to any of the following regardless of the funding source of the individuals served:
  - Licensed public and private (ICF/ID) (55 Pa. Code Chapter 6600) or ICF/ORC.
  - Licensed Personal Care Homes (55 Pa. Code Chapter 2600).
  - Licensed Assisted Living Residences (55 Pa. Code Chapter 2800).
  - Licensed Adult Training Facilities (55 Pa. Code Chapter 2380).
  - Licensed Vocational Facilities (55 Pa. Code Chapter 2390).
  - Licensed Older Adult Daily Living Centers (6 Pa. Code Chapter 11).
  - Exceptions are allowed for Residential Service locations to share one common party wall with one other Residential Service location funded through ODP's waivers in the form of a duplex, two bilevel units, and two side-by-side apartments.
- Any home that begins to provide Life Sharing services on or after February 1, 2020 shall not be located in any development or building where more than 25% of the apartments, condominiums or townhouses have waiver funded Residential Habilitation, Life Sharing or Supported Living being provided.
- To the extent that any listed services are covered under the state plan, including EPSDT, the services under the waiver would be limited to additional services not otherwise covered under the state plan, but consistent with waiver objectives of avoiding institutionalization.

### **SC documentation requirements:**

- SCs are required to document planned therapeutic and medical leave days in the ISP through an Outcome action related to the residential service in the frequency and duration of the actions needed field. The information on the service details page of the ISP should reflect the total number of life sharing days, including therapeutic and medical leave. The SC should update the ISP through a general update as a result of planned or unplanned therapeutic and/or medical leave, and indicate any changes resulting from the leave.
- SCs will need to document the need for behavioral or nursing services that the Life Sharing provider is providing.
- If restrictive procedures are being used the SC must check the "Restrictive Procedure" box in Behavioral Support Plan screen.
- If any of a participant's rights are modified, the guidance in Section 7 of this manual must be followed. When any of these rights are modified due to requirements in a court order, the modification must still be included in the ISP and followed even if the ISP team does not agree with the modification. Decisions made in the provision of Life Sharing services to participants under the age of 18 that mimic typical parental decisions, such as bedtime, nutrition, etc. do not rise to the level of a modification based on an assessed need, and do not need to be documented in the ISP.

### **The procedure code and service unit for Life Sharing – over 30 hours per week on average:**

Provider Type **52** – Community Residential Rehabilitation

Specialty **524** – Unlicensed; **522** – Family Living Homes – 6500

Service Unit: Day

Age Limits & Funding:

Consolidated Waivers: 0 - 120 years old;

Base Funding: 0 - 120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W8593</b>	U5, SE	Needs Group 1	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a one-person home. Life Sharing-1 person-Elig-NG 1 > 30 Hrs
<b>W8595</b>	U5, SE	Needs Group 1	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a two-person home. Life Sharing-2 person-Elig-NG 1 > 30 Hrs
<b>W8593</b>	U6, SE	Needs Group 2	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a one-person home. Life Sharing-1 person-Elig-NG 2 > 30 Hrs
<b>W8595</b>	U6, SE	Needs Group 2	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a two-person home. Life Sharing-2 person-Elig-NG 2 > 30 Hrs
<b>W8593</b>	U7, SE	Needs Group 3	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a one-person home. Life Sharing-1 person-Elig-NG 3 > 30 Hrs
<b>W8595</b>	U7, SE	Needs Group 3	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a two-person home. Life Sharing-2 person-Elig-NG 3 > 30 Hrs
<b>W8593</b>	U8, SE	Needs Group 4	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a one-person home. Life Sharing-1 person-Elig-NG 4 > 30 Hrs
<b>W8595</b>	U8, SE	Needs Group 4	The provision of the eligible components of Life Sharing where the participant receives over 30 hours per week of services in a two-person home. Life Sharing-2 person-Elig-NG 4 > 30 Hrs
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Eligible Procedure Codes in this table for the direct provision

			of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.
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Modifiers U5, U6, U7 and U8 are Support Intensity Scale (SIS) Needs Group Modifiers.  
 Modifier SE - Must be used when the Life Sharing service is provided by a relative of the participant.

**The procedure code and service unit for Life Sharing – under 30 hours per week on average:**

Provider Type **52** – Community Residential Rehabilitation  
 Specialty **524** - Unlicensed

Service Unit: Day

Age Limits & Funding:

Consolidated Waivers: 0-120 years old;

Base Funding: 0 - 120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7037</b>	SE, TD, TE	The provision of the eligible components of Life Sharing where the participant receives under 30 hours per week of services on average in a one-person home.  Life Sharing-1 per-Elig-Unlic < 30 Hrs
<b>W7039</b>	SE, TD, TE	The provision of the eligible components of Life Sharing where the participant receives under 30 hours per week of services on average in a two-person home.  Life Sharing-2 per-Elig-Unlic < 30 Hrs
	<b>U1</b>	Enhanced Communication Service - This modifier can be utilized with all of the Waiver Eligible Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier TD – Must be used to identify services rendered by a Registered Nurse (RN).

Modifier TE – Must be used to identify services rendered by a Licensed Practical Nurse (LPN).

Modifier SE – Must be used when the Life Sharing service is provided by a relative of the participant.

## **Residential Habilitation**

Residential Habilitation services are direct and indirect services provided to participants who live in licensed and unlicensed provider owned, rented or leased residential settings. This service is built on the principle that every participant has the capacity to engage in lifelong learning. As such, through the provision of this service, participants will acquire, maintain, or improve skills necessary to live in the community, to live more independently, and to participate meaningfully in community life. To the extent that Residential Habilitation is provided in community settings outside of the residence, the settings must be inclusive rather than segregated.

Services consist of assistance, support and guidance (physical assistance, instruction, prompting, modeling, and reinforcement) in the general areas of self-care, health maintenance, decision making, home management, managing personal resources, communication, mobility and transportation, relationship development and socialization, personal adjustment, participating in community functions and activities and use of community resources.

The type and amount of assistance, support and guidance are informed by the assessed need for physical, psychological and emotional assistance established through the assessment (including the Health Risk Screening Tool) and person-centered planning processes. The type and amount of assistance are delivered to enhance the autonomy of the participant, in line with his or her personal preferences and to achieve his or her desired outcomes. Residential Habilitation services are often the primary residence of the participant and as such, it is his or her home. Respect for personal routines, rhythms, rights, independence, privacy and personalization are intrinsic to the service as is access to experiences and opportunities for personal growth.

The Residential Habilitation provider must provide the level of services necessary to enable the participant to meet habilitation outcomes. This includes ensuring assistance, support and guidance (which includes prompting, instruction, modeling and reinforcement) will be provided as needed to enable the participant to:

1. Carry out activities of daily living such as personal grooming and hygiene, dressing, making meals and maintaining a clean environment.
2. Develop and maintain positive interactions and relationships with residents of one home and share meals and activities, as appropriate.
3. Learn and develop practices that promote good health and wellness such as nutritious meal planning, regular exercise, carrying through prescribed therapies and exercises, awareness and avoidance of risk including environmental risks, exploitation or abuse; responding to emergencies in the home and community such as fire or injury; knowing how and when to seek assistance.
4. Manage or participate in the management of his or her medical care including scheduling and attending medical appointments, filling prescriptions and self-administration of medications, and keeping health logs and records.
5. Manage his or her mental health diagnosis and emotional wellness including self-management of emotions such as disappointment, frustration, anxiety, anger, and depression; applying trauma informed care principles and practices and accessing mental health services. The service should include: a comprehensive behavior assessment; design, development and updates to a behavior support plan that includes positive practices and least restrictive interventions; development of a Crisis Intervention Plan; and implementation of the behavior support plan, Crisis Intervention Plan and/or the skill building plan which

involve collecting and recording the data necessary to evaluate progress and the need for plan revisions.

6. Participate in the development and implementation of the service plan and direct the person-centered planning process including identifying who should attend and what the desired outcomes are.
7. Make decisions including identifying options/choices and evaluating options/choices against a set of personal preferences and desired outcomes. This includes assistance with identifying supports available within the community.
8. Achieve financial stability through managing personal resources, general banking and balancing accounts, record keeping and managing savings accounts and programs such as ABLE accounts.
9. Communicate with providers, caregivers, family members, friends and others face-to-face and through the use of the telephone, correspondence, the internet, and social media. The service may require knowledge and use of sign language or interpretation for individuals whose primary language is not English.
10. Use a range of transportation options including buses, trains, cab services, driving, and joining car pools, etc. The Residential Habilitation provider is responsible for providing transportation to activities related to health, community involvement and the service plan. The Residential Habilitation provider is not responsible for transportation for which another provider is responsible.
11. Reside in the same home to develop and manage relationships as appropriate, share responsibilities for routines such as preparing meals, eating together, carrying out routine home maintenance such as light cleaning, planning and scheduling shared recreational activities and other typical household routines, resolving differences and negotiating solutions.
12. Develop and maintain relationships with members of the broader community and to manage problematic relationships.
13. Exercise rights as a citizen and fulfill his or her civic responsibilities such as voting and serving on juries; attending public community meetings; to participate in community projects and events with volunteer associations and groups; to serve on public and private boards, advisory groups, and commissions, as well as develop confidence and skills to enhance their contributions to the community.
14. Develop personal interests, such as hobbies, appreciation of music, and other experiences the participant enjoys or may wish to discover.
15. Participate in preferred activities of community life such as shopping, going to restaurants, museums, movies, concerts, dances and faith based services.

The Residential Habilitation provider is also responsible for providing physical health maintenance services including those required by a licensed nurse when required to assure health and wellness or as required in the service plan.

Residential Habilitation providers must ensure that each participant has the right to the following:

1. To receive scheduled and unscheduled visitors, and to communicate and meet privately with individuals of his or her choice at any time.
2. To send and receive mail and other forms of communication, unopened and unread by others.
3. To have unrestricted and private access to telecommunications.
4. To manage and access his or her own finances.
5. To choose any individual with whom they will be sharing a bedroom.
6. To furnish and decorate his or her bedroom and the common areas of the home.

7. To lock his or her bedroom door.
8. To have a key to an entrance door of the home.
9. To decide what to eat, decide when to eat and have access to food at any time.
10. To make informed health care decisions.

When any of these rights are modified, the modification must be supported by a specific assessed need, agreed upon by the service plan team and justified in the service plan.

Any use of Independent Living Technology must comply with 42 CFR 441.301(c)(4)(vi)(A) through (D) related to privacy, control of schedule and activities and access to visitors.

The residential habilitation setting must be located in Pennsylvania, and must be one of the following eligible settings:

1. Child Residential Services (the residential section of 55 Pa. Code Chapter 3800): The services that may be funded through the Waiver are limited to residential service settings. Child residential services provided in secure settings, detention centers, mobile programs, outdoor programs, and residential treatment facilities accredited by Joint Commission on Accreditation of Healthcare Organizations (JCAHO) may not be funded through the Waiver.
2. Community Residential Rehabilitation Services for the Mentally Ill (CRRS), (55 Pa. Code Chapter 5310): CRRS are characterized as transitional residential programs in community settings for participants with chronic psychiatric disabilities. This service is full-care CRRS for participants with intellectual disability and mental illness. Full-care CRRS is a program that provides living accommodations for participants who are psychiatrically disabled and display severe community adjustment problems. A full range of personal assistance and psychological rehabilitation is provided for participants in a structured living environment. Host homes as defined in section 5310.6 are excluded.
3. Community Homes for Individuals with an Intellectual Disability or Autism (55 Pa. Code Chapter 6400): A licensed Community Home is a home where services are provided to individuals with an intellectual disability or autism. A community home is defined in regulations as, "A building or separate dwelling unit in which residential care is provided to one or more individuals with an intellectual disability or autism". In licensed Community Homes, services may be provided up to the approved program capacity of the home. Approved program capacity is established by ODP for each licensed Chapter 6400 service location based on the maximum number of individuals who, on any given day, may be authorized to receive services at that service location. There may be situations in which a site's licensed capacity is greater than the approved program capacity. In these situations, the site may only provide services up to the approved program capacity.
4. Unlicensed Residential Habilitation: Residential Habilitation may be provided to participants who live in unlicensed provider-owned, rented or leased settings. The 55 Pa. Code §6400.3(f)(7) licensing regulations exclude community homes that serve 3 or fewer individuals with an intellectual disability or autism 18 years of age or older who need a yearly average of 30 hours or less of direct staff contact per week per home.

Room and board is not included in the rate for the Residential Habilitation service. Residential Habilitation providers should collect room and board payments in accordance with regulatory requirements.

During temporary travel this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

**Additional Service Definition Clarification:**

**“Without Day”:** “Licensed Residential Habilitation Without Day” (Modifier HI) is any day in which one of the following occurs:

- A participant solely receives services that are part of the Residential Habilitation service; or
- A participant receives fewer than 5 hours of services and/or unpaid supports that are not included in the Residential Habilitation service.

**“With Day”:** “Licensed Residential Habilitation With Day” is any day in which a participant receives five (5) or more hours of services and/or unpaid supports that are not included in the Residential Habilitation service. When the participant is independent in the home or community for five or more hours in a day and does not receive direct services from the Residential Habilitation provider during that time, this would also be considered “Licensed Residential Habilitation With Day.”

Residential Habilitation is authorized as day units either “with” or “without day” as described above.

To minimize critical revisions related to calculations of “with’ and “without day,” SCs may include units beyond 365 day units annually up to a maximum of 400 units total.

In situations where it is unclear how many days the individual will use “with” or “without” day, the default allocation of day units should be the following:

4 DAYS/WEEK WITH DAY  
3 DAYS/WEEK WITHOUT DAY

Residential Habilitation service providers, the participant and ISP team can consider the following to best meet the participant’s transportation needs in the most cost-effective manner:

- Provide transportation by use of agency staff and agency vehicles.
- Subcontract with the transportation entity that meets the transportation qualification criteria.
- Ensure that individuals who are eligible for or are currently accessing other transportation services, such as Medical Assistance Transportation Program, city and regional transportation, and the like, have to access those services.
- Explore the use of other generic public transportation services with the cost paid by the Residential Habilitation service provider.
- Explore resources and opportunities available through family and the community.
- For transportation to or from a job that meets the definition of competitive integrated employment and that need is documented in the service plan, the residential provider may provide the service and bill discretely or an arrangement with another transportation provider can be made.

When any of a participant’s rights are modified due to requirements in a court order, the modification must still be included in the ISP and followed even if the ISP team does not agree

with the modification. Decisions made in the provision of Residential Habilitation services to participants under the age of 18 that mimic typical parental decisions, such as bedtime, nutrition, etc., do not rise to the level of a modification based on an assessed need, and do not need to be documented in the ISP.

**Determining the need for the service:**

- Have all living options (private home, life sharing and supported living) been explored with the participant and the participant has expressed preference for a Residential Habilitation setting?
- Does the participant have behavioral support needs or nursing needs?
  - If yes, is the Residential Habilitation provider meeting those needs?

**Service limits:**

- The following Residential Enhanced Staffing add-on may be utilized for participants receiving licensed Residential Habilitation services:
  - Supplemental Habilitation staffing in emergency situations or to meet a participant's temporary medical or behavioral needs. Supplemental Habilitation staff can be authorized for no more than 90 calendar days unless a variance is granted by the AE.
- A setting enrolled to provide waiver services prior to July 1, 2017, shall not exceed a program capacity of 8. With ODP's written approval, a residential habilitation setting with a program capacity of 5 to 8 may move to a new location and retain the program capacity of 5 to 8. A setting enrolled to provide waiver services on July 1, 2017, or later shall not exceed a program capacity of 4. A setting that is a duplex, two bilevel units and two side-by-side apartments enrolled to provide waiver services on or after February 1, 2020, shall not exceed a program capacity of 4 in both units. With ODP's written approval, an ICF/ID licensed in accordance with 55 Pa. Code Chapter 6600 with a licensed capacity of 5 to 8 individuals may convert to a residential habilitation setting exceeding the program capacity of 4.
- Participants authorized to receive Residential Habilitation services:
  - Are not precluded from receiving Assistive Technology, but may not receive the Remote Monitoring component. Remote Monitoring is intended to reduce the participant's need for direct support that would typically be provided as part of the Residential Habilitation service. As such, Remote Monitoring is built into the Residential Habilitation rate and cannot be authorized as a discrete service.
  - May not be authorized to receive Supports Broker services unless the participant has a plan to self-direct services through a participant-directed services model in a private home.
- The following may not be authorized for participants who receive Residential Habilitation services: Life Sharing; Supported Living; Respite (15-minute or Day); Companion; Homemaker/Chore; In-Home and Community Supports; Music, Art and Equine Assisted Therapy; Consultative Nutritional Services; Specialized Supplies and Home or Vehicle Accessibility Adaptations. Transportation is included in the Residential Habilitation rate and may not be billed as a discrete service, unless the transportation is to or from a job that meets the definition of competitive integrated employment and that need is documented in the service plan. The Residential Habilitation rate will also include

Behavioral Support. Behavioral Support may only be authorized as a discrete service when it is used to support a participant to access Community Participation Support or to maintain employment when provided at the participant's place of employment. Communication Specialist and Shift Nursing can only be authorized in limited circumstances; reference those service definitions for the exceptions.

- Participants eligible for Residential Habilitation may not be authorized to receive Housing Transition and Tenancy Sustaining Services – Tenancy Support. Housing Transition services may be authorized when the participant has a plan to move from the home where Residential Habilitation is provided into a private home that the participant will own, rent or lease.
- Residential Habilitation services may not be provided in licensed Personal Care Homes or Assisted Living Residences and may only be provided in Domiciliary Care Homes if the home is licensed by the Department under 55 Pa. Code 6400, 5310 or 3800 and certified by the local Area Agency on Aging (6 Pa. Code Chapter 21).
- All settings must be integrated and dispersed in the community in noncontiguous locations and may not be located on campus settings. To meet this requirement, the location of each setting must be separate from any other ODP-funded residential setting and must be dispersed in the community and not surrounded by other ODP-funded residential settings. Settings that share only one common party wall are not considered contiguous. Settings should be located in the community and surrounded by the general public. New settings or changes to existing settings must be approved by ODP or its designee utilizing ODP's criteria.
- Residential Habilitation or Life Sharing may not be provided in a home enrolled on or after February 1, 2020 that is adjacent to any of the following regardless of the funding source of the individuals served:
  - Licensed public and private (ICF/ID) (55 Pa. Code Chapter 6600) or ICF/ORC.
  - Licensed Personal Care Homes (55 Pa. Code Chapter 2600).
  - Licensed Assisted Living Residences (55 pa. Code Chapter 2800).
  - Licensed Adult Training Facilities (55 Pa. Code Chapter 2380).
  - Licensed Vocational Facilities (55 Pa. Code Chapter 2390).
  - Licensed Older Adult Daily Living Centers (6 Pa. Code Chapter 11).
  - Exceptions are allowed for Residential Service locations to share one common party wall with one other Residential Service location funded through ODP's waivers in the form of a duplex, two bilevel units, and two side-by-side apartments. This exception does not extend to Residential Service locations that are not funded through ODP's waivers.
- Settings enrolled on or after February 1, 2020, shall not be located in any development or building where more than 25% of the apartments, condominiums or townhouses have waiver funded Residential Habilitation, Life Sharing or Supported Living being provided.

#### SC documentation requirements:

- SCs are required to document planned therapeutic and medical leave days in the ISP through an Outcome action related to the residential service in the frequency and duration of the actions needed field. The information on the service details page of the ISP should reflect the total number of residential habilitation days, including therapeutic and medical leave. The SC should update the ISP through a general update as a result

of planned or unplanned therapeutic and/or medical leave, and indicate any changes resulting from the leave.

- SCs will need to document the need for behavioral or nursing services that the residential provider is providing.
- If restrictive procedures are being used the SC must check the “Restrictive Procedure” box in Behavioral Support Plan screen.
- If any of an individual’s rights are modified, Section 7 of this manual must be followed. When any of these rights are modified due to requirements in a court order, the modification must be included in the service plan and followed even if the service plan team does not agree with the modification. Decisions made in the provision of Residential Habilitation services to participants under the age of 18 that mimic typical parental decisions, such as bedtime, nutrition, etc., do not rise to the level of a modification based on an assessed need, and do not need to be documented in the service plan.

### **Licensed Residential Habilitation with Day**

#### **The procedure codes and service units for Licensed Residential Habilitation with Waiver-Funded Service during the day:**

Provider Type **52** - Community Residential Rehabilitation

Specialties: **456** - CRR-Adult; **520** - Child Residential Services – 3800; **521** - Adult Residential-6400

Service Unit: Day

Age Limits & Funding:

Consolidated Waiver: 0-120 years

Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description HCSIS Description</b>
<b>W9000</b>	U5	1	The provision of the eligible components of Residential Habilitation With Day in a licensed one person residence. Res Hab-1 Person-NG 1-Elig-w/Day Supports
<b>W9029</b>	U5	1	The provision of the eligible components of Residential Habilitation With Day in a licensed two person residence. Res Hab-2 Person-NG 1-Elig-w/Day Supports
<b>W9045</b>	U5	1	The provision of the eligible components of Residential Habilitation With Day in a licensed three person residence. Res Hab-3 Person-NG 1-Elig-w/Day Supports

<b>W9047</b>	U5	1	The provision of the eligible components of Residential Habilitation With Day in a licensed four person residence. Res Hab-4 Person-NG 1-Elig-w/Day Supports
<b>W9064</b>	U5	1	The provision of the eligible components of Residential Habilitation With Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 1-Elig-w/Day Supports
<b>W9000</b>	U6	2	The provision of the eligible components of Residential Habilitation With Day in a licensed one person residence. Res Hab-1 Person-NG 2-Elig-w/Day Supports
<b>W9029</b>	U6	2	The provision of the eligible components of Residential Habilitation With Day in a licensed two person residence. Res Hab-2 Person-NG 2-Elig-w/Day Supports
<b>W9045</b>	U6	2	The provision of the eligible components of Residential Habilitation With Day in a licensed three person residence. Res Hab-3 Person-NG 2-Elig-w/Day Supports
<b>W9047</b>	U6	2	The provision of the eligible components of Residential Habilitation With Day in a licensed four person residence. Res Hab-4 Person-NG 2-Elig-w/Day Supports
<b>W9064</b>	U6	2	The provision of the eligible components of Residential Habilitation With Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 2-Elig-w/Day Supports
<b>W9000</b>	U7	3	The provision of the eligible components of Residential Habilitation With Day in a licensed one person residence. Res Hab-1 Person-NG 3-Elig-w/Day Supports
<b>W9029</b>	U7	3	The provision of the eligible components of Residential Habilitation With Day in a licensed two person residence. Res Hab-2 Person-NG 3-Elig-w/Day Supports
<b>W9045</b>	U7	3	The provision of the eligible components of Residential Habilitation With Day in a licensed three person residence. Res Hab-3 Person-NG 3-Elig-w/Day Supports
<b>W9047</b>	U7	3	The provision of the eligible components of Residential Habilitation With Day in a licensed four person residence. Res Hab-4 Person-NG 3-Elig-w/Day Supports

<b>W9064</b>	U7	3	The provision of the eligible components of Residential Habilitation With Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 3-Elig-w/Day Supports
<b>W9000</b>	U8	4	The provision of the eligible components of Residential Habilitation With Day in a licensed one person residence. Res Hab-1 Person-NG 4-Elig-w/Day Supports
<b>W9029</b>	U8	4	The provision of the eligible components of Residential Habilitation With Day in a licensed two person residence. Res Hab-2 Person-NG 4-Elig-w/Day Supports
<b>W9045</b>	U8	4	The provision of the eligible components of Residential Habilitation With Day in a licensed three person residence. Res Hab-3 Person-NG 4-Elig-w/Day Supports
<b>W9047</b>	U8	4	The provision of the eligible components of Residential Habilitation With Day in a licensed four person residence. Res Hab-4 Person-NG 4-Elig-w/Day Supports
<b>W9064</b>	U8	4	The provision of the eligible components of Residential Habilitation With Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 4-Elig-w/Day Supports
	U1		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Eligible Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifiers U5, U6, U7 and U8 are Support Intensity Scale (SIS) Needs Group Modifiers.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> - U1

**Licensed Residential Habilitation without Day****The procedure codes and service units for Licensed Residential Habilitation without Waiver-Funded Service during the day:**

Provider Type **52** - Community Residential Rehabilitation

Specialties: **456** - CRR-Adult; **520** - Child Residential Services – 3800; **521** - Adult Residential-6400

Service Unit: Day

Age Limits & Funding:

Consolidated Waivers: 0-120 years

Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description HCSIS Description</b>
<b>W9000</b>	U5, HI	1	The provision of the eligible components of Residential Habilitation Without Day in a licensed one person residence. Res Hab-1 Person-NG 1-Elig
<b>W9029</b>	U5, HI	1	The provision of the eligible components of Residential Habilitation Without Day in a licensed two person residence. Res Hab-2 Person-NG 1-Elig
<b>W9045</b>	U5, HI	1	The provision of the eligible components of Residential Habilitation Without Day in a licensed three person residence. Res Hab-3 Person-NG 1-Elig
<b>W9047</b>	U5, HI	1	The provision of the eligible components of Residential Habilitation Without Day in a licensed four person residence. Res Hab-Lic-4 Person-Elig-NG 1
<b>W9064</b>	U5, HI	1	The provision of the eligible components of Residential Habilitation Without Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 1-Elig
<b>W9000</b>	U6, HI	2	The provision of the eligible components of Residential Habilitation Without Day in a licensed one person residence. Res Hab-1 Person-NG 2-Elig
<b>W9029</b>	U6, HI	2	The provision of the eligible components of Residential Habilitation Without Day in a licensed two person residence. Res Hab-2 Person-NG 2-Elig

<b>W9045</b>	U6, HI	2	The provision of the eligible components of Residential Habilitation Without Day in a licensed three person residence. Res Hab-3 Person-NG 2-Elig
<b>W9047</b>	U6, HI	2	The provision of the eligible components of Residential Habilitation Without Day in a licensed four person residence. Res Hab-Lic-4 Person-Elig-NG 2
<b>W9064</b>	U6, HI	2	The provision of the eligible components of Residential Habilitation Without Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 2-Elig
<b>W9000</b>	U7, HI	3	The provision of the eligible components of Residential Habilitation Without Day in a licensed one person residence. Res Hab-1 Person-NG 3-Elig
<b>W9029</b>	U7, HI	3	The provision of the eligible components of Residential Habilitation Without Day in a licensed two person residence. Res Hab-2 Person-NG 3-Elig
<b>W9045</b>	U7, HI	3	The provision of the eligible components of Residential Habilitation Without Day in a licensed three person residence. Res Hab-3 Person-NG 3-Elig
<b>W9047</b>	U7, HI	3	The provision of the eligible components of Residential Habilitation Without Day in a licensed four person residence. Res Hab-Lic-4 Person-Elig-NG 3
<b>W9064</b>	U7, HI	3	The provision of the eligible components of Residential Habilitation Without Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 3-Elig
<b>W9000</b>	U8, HI	4	The provision of the eligible components of Residential Habilitation Without Day in a licensed one person residence. Res Hab-1 Person-NG 4-Elig
<b>W9029</b>	U8, HI	4	The provision of the eligible components of Residential Habilitation Without Day in a licensed two person residence. Res Hab-2 Person-NG 4-Elig
<b>W9045</b>	U8, HI	4	The provision of the eligible components of Residential Habilitation Without Day in a licensed three person residence. Res Hab-3 Person-NG 4-Elig

<b>W9047</b>	U8, HI	4	The provision of the eligible components of Residential Habilitation Without Day in a licensed four person residence. Res Hab-Lic-4 Person-Elig-NG 4
<b>W9064</b>	U8, HI	4	The provision of the eligible components of Residential Habilitation Without Day in a licensed five to eight person residence. Res Hab-5-8 Person-NG 4-Elig
	U1		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Eligible Procedure Codes in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifiers U5, U6, U7 and U8 are Support Intensity Scale (SIS) Needs Group Modifiers.  
Modifier HI – Must be used for Residential Habilitation Without Day.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> - U1

**OR**

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> – HI

When billing for three modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> – HI

3<sup>rd</sup> – U1

### **Licensed Ineligible Residential Habilitation**

#### **The procedure codes and service units for Licensed Ineligible Residential Habilitation:**

Provider Type **52** – Community Residential Habilitation

Specialties: **456** - CRR-Adult; **520** - Child Residential Services – 3800; **521** - Adult Residential-6400

Service Unit: Day

Age Limits & Funding:

Consolidated Waivers: 0-120 years

Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W9001</b>	ineligible	The ineligible portion of Residential Habilitation in a licensed one person residence. Res Hab-Lic-1 Person-Inelig
<b>W9030</b>	ineligible	The ineligible portion of Residential Habilitation in a licensed two person residence. Res Hab-Lic-2 Person-Inelig
<b>W9046</b>	ineligible	The ineligible portion of Residential Habilitation in a licensed three person residence. Res Hab-Lic-3 Person-Inelig
<b>W9048</b>	ineligible	The ineligible portion of Residential Habilitation in a licensed four person residence. Res Hab-Lic-4 Person-Inelig
<b>W9065</b>	ineligible	The ineligible portion of Residential Habilitation in a licensed five to eight person residence. Res Hab-Lic-5-8 Person-Inelig

### **Unlicensed Residential Habilitation**

#### **The procedure codes and service units for Unlicensed Residential Habilitation:**

Provider Type **52** - Community Residential Rehabilitation  
Specialty **524** - Unlicensed

Age Limits & Funding:  
Consolidated: 0–120 years old;  
Base Funding: 0-120 years old  
Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7078</b>	TD, TE, U1	The provision of the eligible components of Residential Habilitation in an unlicensed one person residence. Resid Hab-Unlic 1-Indiv Home (Eligible)
<b>W7080</b>	TD, TE, U1	The provision of the eligible components of Residential Habilitation in an unlicensed two person residence. Resid Hab-Unlic 2-Indiv Home (Eligible)
<b>W7082</b>	TD, TE, U1	The provision of the eligible components of Residential Habilitation in an unlicensed three person residence. Resid Hab-Unlic 3-Indiv Home (Eligible)
	U1	Enhanced Communication Service – This modifier can be utilized with all of the Waiver Procedure Codes in this table for the direct provision of this service. It signifies that the

		individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.
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Modifier TD – Must be used when the service is provided by a Registered Nurse (RN).

Modifier TE – Must be used when the service is provided by a Licensed Practical Nurse (LPN).

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – TD or TE

2<sup>nd</sup> - U1

## Supported Living

These are direct and indirect services provided to participants who live in a private home that is owned, leased or rented by the participant or provided for the participant's use via a Special or Supplemental Needs trust and located in Pennsylvania. Supported Living services are provided to protect the health and welfare of participants by assisting them in the general areas of self-care, health maintenance, wellness activities, meal preparation, decision making, home management, managing personal resources, communication, mobility and transportation, relationship development and socialization, personal adjustment, participating in community functions and activities and use of community resources. Through the provision of this service participants will be supported to live in their own home in the community and to acquire, maintain or improve skills necessary to live more independently and be more productive and participatory in community life.

This service is billed as a day unit and includes indirect support for periods of time that the participant does not need direct support in his or her home and community. The Supported Living provider, however, must ensure that direct support is provided as needed to achieve desired outcomes, facilitate participation in the community and mitigate risks. The Supported Living provider must also ensure that on-call staff are available to support the participant 24 hours a day. The type and degree of assistance, support and guidance are informed by the assessed need for physical, psychological and emotional assistance established through the assessment and person-centered planning processes.

The Supported Living provider must provide the level of services necessary to enable the participant to meet habilitation outcomes. This includes ensuring assistance, support and guidance (which includes prompting, instruction, modeling and reinforcement) will be provided as needed to enable the participant to:

1. Carry out activities of daily living such as personal grooming and hygiene, dressing, making meals and maintaining a clean environment.
2. Learn and develop practices that promote good health and wellness such as nutritious meal planning, regular exercise, carrying through prescribed therapies and exercises, awareness and avoidance of risk including environmental risks, exploitation or abuse; responding to emergencies in the home and community such as fire or injury; knowing how and when to seek assistance.
3. Manage or participate in the management of his or her medical care including scheduling and attending medical appointments, filling prescriptions and self-administration of medications, and keeping health logs and records. The staff providing this support may also administer medications in accordance with applicable regulatory guidance.
4. Manage his or her mental health diagnosis and emotional wellness including self-management of emotions such as disappointment, frustration, anxiety, anger, and depression; applying trauma informed care principles and practices; and accessing mental health services. The service should include: a comprehensive behavior assessment; design, development and updates to a behavior support plan that includes positive practices and least restrictive interventions; development of a Crisis Intervention Plan; and implementation of the behavior support plan, Crisis Intervention Plan and/or the skill building plan which involve collecting and recording the data necessary to evaluate progress and the need for plan revisions.

5. Participate in the development and implementation of the service plan and direct the person-centered planning process including identifying who should attend and what the desired outcomes are.
6. Make decisions including identifying options/choices and evaluating options/choices against a set of personal preferences and desired outcomes. This includes assistance with identifying supports available within the community.
7. Manage his or her home including arranging for utility services, paying bills, home maintenance, and home safety.
8. Achieve financial stability through managing personal resources, general banking and balancing accounts, record keeping and managing savings accounts and programs such as ABLÉ accounts.
9. Communicate with providers, caregivers, family members, friends and others face-to-face and through the use of the telephone, correspondence, the internet, and social media. The service may require knowledge and use of sign language or interpretation for individuals whose primary language is not English.
10. Use a range of transportation options including buses, trains, cab services, driving, and joining car pools, etc. The Supported Living provider is responsible to provide transportation to activities related to health, community involvement and the participant's service plan. The Supported Living provider is not responsible for transportation for which another provider is responsible.
11. Develop and manage relationships with roommates as appropriate, share responsibilities for shared routines such as preparing meals, eating together, carrying out routine home maintenance such as light cleaning, planning and scheduling shared recreational activities and other typical household routines, resolving differences and negotiating solutions.
12. Develop and maintain relationships with members of the broader community (examples include but are not limited to: neighbors, coworkers, friends and family) and to manage problematic relationships.
13. Exercise rights as a citizen and fulfill his or her civic responsibilities such as voting and serving on juries; attend public community meetings; participate in community projects and events with volunteer associations and groups; serve on public and private boards, advisory groups, and commissions, as well as develop confidence and skills to enhance his or her contributions to the community.
14. Develop personal interests; such as hobbies, appreciation of music, and other experiences the participant enjoys or may wish to discover.
15. Participate in preferred activities of community life such as shopping, going to restaurants, museums, movies, concerts, dances and faith based services.

The supported living provider is responsible for the identification of risk to the participant and the implementation of actions such as reporting incidents as required by ODP, the Older Adults Protective Services Act, the Adult Protective Services Act and the Child Protective Services Law, and/or calling emergency officials for immediate assistance. The Supported Living provider is also responsible for the provision of physical health maintenance services including those required by a licensed nurse when required to assure health and wellness or as required in the service plan.

This service is billed as a day unit and may be provided at the following levels:

- Needs Group 1
- Needs Group 2
- Needs Group 3 (Consolidated Waiver only)
- Needs Group 4 (Consolidated Waiver only)

Supported Living services include the support of a supported living specialist for each participant with overall responsibility to provide oversight and monitoring of the habilitative outcomes, health and wellness activities, ongoing assessment of supports and needs of the participant as identified in his or her service plan, as well as coordination of support services, both direct and indirect related to the Supported Living service.

In emergency situations or to meet a participant's temporary medical or behavioral needs, participants authorized to receive Supported Living may also be authorized to receive Supplemental Habilitation for no more than 90 calendar days unless a variance is granted by the AE.

Transportation is included in the cost of Supported Living and may not be billed as a discrete service, unless the transportation is to or from a job that meets the definition of competitive integrated employment and that need is documented in the participant's service plan.

Participants authorized to receive Supported Living services may receive Vehicle Accessibility Adaptations when the vehicle being adapted and utilized by the participant is not agency owned, leased or rented.

The rate will include Behavioral Support. Behavioral Support may only be authorized as a discrete service when it is used to support a participant to access Community Participation Support **or to maintain employment when provided at the participant's place of employment.**

Supported Living services must be delivered in a private home located in Pennsylvania or other community settings. During temporary travel, however, this service may be provided in Pennsylvania or other locations per the ODP travel policy.

#### **Determining the need for services:**

- Could the participant's needs best be met through the flexibility and agency support (including supported living specialists) offered through Supported Living?
- Does the participant have behavioral support needs or nursing needs?
  - If yes, is the Supported Living provider meeting those needs?

#### **Service Limits:**

- Supported Living services may not be provided in licensed or unlicensed residential habilitation settings, licensed or unlicensed Life Sharing homes, Adult Training Facilities (55 Pa. Code Chapter 2380) or Vocational Facilities (55 Pa Code Chapter 2390).
- Participants authorized to receive Supported Living services:
  - Are not precluded from receiving Assistive Technology, but may not receive the Remote Monitoring component. Remote Monitoring is intended to reduce the participant's need for direct support that is available a part of the Supported Living service. As such, Remote Monitoring is built into the Supported Living rate and cannot be authorized as a discrete service. Any use of Independent Living

- Technology must comply with 42 CFR 441.301 (c)(4)(vi)(A) through (D) related to privacy, control of schedule and activities and access to visitors.
- May not be authorized to receive Supports Broker services unless the participant has a plan to self-direct their services through a participant-directed services model in a private home.
  - The following services may not be authorized for participants who receive Supported Living services: Life Sharing; Residential Habilitation; Respite (15-minute or Day); Companion; Homemaker/Chore; In-Home and Community Supports; Behavioral Supports; Therapies; Shift Nursing; Music, Art and Equine Assisted Therapy; Consultative Nutritional Services; Communication Specialist and Specialized Supplies.
  - Settings enrolled on or after February 1, 2020, shall not be located in any development or building where more than 25% of the apartments, condominiums or townhouses have ODP-funded Residential Habilitation, Life Sharing or Supported Living being provided.

### The procedure code and service units for Supported Living Services:

Provider Type **52** - Community Residential Rehabilitation  
Specialty **524**, Unlicensed

Service Unit: Day

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 18-120 years old

Base Funding: 18-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description HCSIS Description</b>
<b>W9872</b>	U5	1	The provision of Supported Living in a one person home. Supported Living-1 Person-NG1
<b>W9873</b>	U5	1	The provision of Supported Living in a two person home. Supported Living-2 Person-NG1
<b>W9874</b>	U5	1	The provision of Supported Living in a three person home. Supported Living-3 Person-NG1
<b>W9872</b>	U6	2	The provision of Supported Living in a one person home. Supported Living-1 Person-NG2
<b>W9873</b>	U6	2	The provision of Supported Living in a two person home. Supported Living-2 Person-NG2
<b>W9874</b>	U6	2	The provision of Supported Living in a three person home.

			Supported Living-3 Person-NG2
<b>W9872</b>	U7	3	The provision of Supported Living in a one person home. Supported Living-1 Person-NG3
<b>W9873</b>	U7	3	The provision of Supported Living in a two person home. Supported Living-2 Person-NG3
<b>W9874</b>	U7	3	The provision of Supported Living in a three person home. Supported Living-3 Person-NG3
<b>W9872</b>	U8	4	The provision of Supported Living in a one person home. Supported Living-1 Person-NG4
<b>W9873</b>	U8	4	The provision of Supported Living in a two person home. Supported Living-2 Person-NG4
<b>W9874</b>	U8	4	The provision of Supported Living in a three person home. Supported Living-3 Person-NG4
	U1		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifiers U5, U6, U7 and U8 are Support Intensity Scale (SIS) Needs Group Modifiers.

**Section 14.18: Respite**

Respite services are direct services that are provided to supervise and support participants living in private homes on a short-term basis for planned or emergency situations, giving the person(s) normally providing care a period of relief that may be scheduled or due to an emergency. Respite services do not cover the care provided to a minor child when the primary caregiver or legally responsible individual is absent due to work.

In emergency situations, Respite services may be provided in a home licensed under 55 Pa. Code Chapters 6400, 3800 or 5310 beyond the home's approved program capacity (but not beyond the home's licensed capacity) or in a non-waiver funded licensed residential setting or in a hotel when approved by ODP. Settings considered non-waiver funded licensed residential settings include residential settings located on a campus or that are contiguous to other ODP-funded residential settings (settings that share one common party wall are not considered contiguous). This will also include settings enrolled on or after the effective date of the Chapter 6100 regulations that are located in any development or building where more than 25% of the apartments, condominiums or townhouses have waiver funded Residential Habilitation, Life Sharing or Supported Living being provided.

An emergency circumstance is defined as a situation where:

- A participant's health and welfare is at immediate risk;
- A participant experiences the sudden loss of his or her home (due to, for example, a fire or natural disaster). This is not intended to replace a residential provider's responsibility to secure an alternative if there is a need for an emergency location;
- A participant loses the care of a relative or unrelated caregiver, without advance warning or planning; or
- There is an imminent risk of institutionalization.

To the degree possible, the respite provider must maintain the participant's schedule of activities including activities that allow participation in the community. This service also includes implementation of a participant's Behavioral Support Plan or Crisis Intervention Plan as applicable.

Respite services may only be provided in the following location(s):

- Participant's private home located in Pennsylvania.
- Licensed Family Living Home (55 Pa. Code Chapter 6500) located in Pennsylvania.
- Licensed Community Home (55 Pa. Code Chapter 6400) located in Pennsylvania within the home's approved program capacity of 1 to 4. ODP may approve the provision of Respite services above a home's approved program capacity or in a home with approved program capacity of 5 to 8 for emergency circumstances or to meet medical or behavioral needs as described in the section "Additional Service Definition Clarification" below.
- Licensed Child Residential Service Home (55 Pa. Code Chapter 3800) located in Pennsylvania.
- Licensed Community Residential Rehabilitation Services for the Mentally Ill Home (55 Pa. Code Chapter 5310) located in Pennsylvania.
- Unlicensed Life Sharing home that is located in Pennsylvania.
- Unlicensed private home that is located in Pennsylvania, Washington DC, or Virginia or a state contiguous to Pennsylvania.

- Other private homes, hotels, or rentals during temporary travel in accordance with ODP's travel policy.
- Camp settings that meet applicable state or local codes.
- Community settings that maintain the participant's schedule of activities.

Respite services may not be provided in Hospitals, Personal Care Homes or public ICFs/ID (ICFs/ID that are owned and operated by any state).

Participants can receive two categories of Respite services in private homes (excluding Life Sharing provided in private homes): Day respite and 15-minute respite. Day respite in private homes must be provided for periods of more than 16 hours, and is billed using a daily unit. 15-minute respite in private homes is provided for periods of 16 hours or less, and is billed using a 15-minute unit.

Participants may not be authorized for 15-minute unit respite provided in Residential Habilitation settings, Life Sharing settings, private ICFs/ID and licensed nursing homes. Day respite is the only type of Respite allowable to be provided in these settings. Day respite authorized in these settings must be provided for periods of more than 8 hours.

Room and board costs are included in the fee schedule rate solely for Respite provided in a licensed residential setting. For this reason, there may not be a charge for room and board to the participant for Respite that is provided in a licensed residential setting. There may not be a charge to the participant for room and board in camp settings that are licensed or accredited. The waiver will reimburse the room and board fee charged to the general public if the camp is licensed or accredited. The camp should provide separate documentation of the service cost and the room and board component based on the accreditation or certification standard for the camp.

### **Additional Service Definition Clarification**

A variance for Respite services in the following settings may be requested when the participant has a Needs Group 3 or 4 that indicates medical or behavioral needs and the participant is unable to locate a respite provider to render services in a community setting:

- Licensed Intermediate Care Facilities for individuals with an Intellectual Disability (55 Pa. Code 6600) that are owned and operated by private agencies.
- Licensed Nursing Homes (28 Pa. Code Chapters 201, 203, 205, 207, 209 and 211).
- Licensed Community Homes (55 Pa. Code Chapter 6400, 3800 or 5310) located in Pennsylvania within the home's approved program capacity of 5 to 8.

A variance does not need to be completed for Respite provided in a Life Sharing home beyond the approved program capacity of 1 if the licensed capacity for the home is 2. Services can never be provided to individuals that exceed the licensed capacity of the home.

When Respite is provided in a Residential Habilitation or Life Sharing setting, the setting must be integrated and dispersed in the community in noncontiguous locations, and may not be located on campus settings. A variance to these criteria can be requested in accordance with ODP policy.

Respite should generally not be used to provide relief to direct service professionals. It is the responsibility of the employer to ensure that direct service professionals receive relief. Respite should not be included as the back-up plan for a paid service.

### *Individuals Receiving Life Sharing and Respite*

A participant who receives Life Sharing can receive discrete Respite services in any location operated by a provider that is enrolled and qualified to render Respite services. The location must meet the participant's needs and be agreed upon by the ISP team.

If the Respite occurs in a private home that is not a Life Sharing home and is located in Pennsylvania, Washington DC, or Virginia or a state contiguous to Pennsylvania as specified in the waiver (such as the private home of a friend, family member or neighbor), either 15-minute or day Respite may be approved and authorized (which is dependent on the number of hours of Respite provided as specified in the Respite service definition). Respite provided in Life Sharing settings, both licensed and unlicensed, should be authorized and billed using the "24 Hour Respite (In-Home Respite and Unlicensed Out-of-Home Respite Services)" procedure codes which in HCSIS reads as "Respite-Unlic-Day" (W9795-W9801). The day unit is tied to where Respite is delivered; when Respite is provided by anyone in a licensed or unlicensed Life Sharing or Residential Habilitation setting, only Day Respite can be authorized and billed.

Please note: The Respite service definition in the Consolidated and Community Living Waivers erroneously refers to Respite provided in Life Sharing settings levels by Needs Group.

If the "respite" is provided informally by another member of the host family who is not the primary caregiver, a neighbor or another person with whom the Life Sharing provider, host family and participant have a relationship, it may not be billed as a discrete Respite service. However, nothing precludes Life Sharing providers and host families from continuing to engage in informal "substitute care" arrangements. When this occurs, billing should be the day rate for Life Sharing.

For additional information about Respite for individuals receiving Life Sharing, please consult ODP Communication 028-18, *Now Available: Life Sharing and Respite Question and Answer Document*.

### **Determining the need for services:**

The team must address the following additional questions when determining the extent to which Respite is necessary:

- What are the specific supports the participant needs during respite?
- Has the availability of resources available through family and friends been discussed and utilized?
- Is this service necessary due to the caregiver's absence or need for relief?

- Is the level of services provided directly related to the intensity of the physical, behavioral or personal care needs of the participant served and the availability of natural supports?
- Enhanced levels of service and the non-enhanced 2:1 level of service where the direct service professional does not have a degree – To determine the ability for a participant to receive enhanced and 2:1 levels of Respite, the following decision tree shall be applied:

**Question 1 - Does the participant have a medical or behavioral support need?**

- If NO - STOP. Enhanced and 2:1 levels of service are not supported for the participant
- If YES - Proceed to Question 2 for 2:1 levels of service. Proceed to Question 3 for the 1:1 enhanced level of service.

**Question 2 (applies to 2:1 levels of service only) - Is the participant's medical or behavioral need of a nature that 2 staff are required to provide the service?**

- If NO – STOP. 2:1 levels of service (enhanced or non-enhanced) are not supported for the participant.
- If YES – Add the non-enhanced 2:1 levels of service to the ISP. Proceed to Question 3 for the enhanced 2:1 levels of service.

**Question 3 (applies to Enhanced levels of service only) - Is the participant's medical or behavioral need:**

1) Severe enough that it cannot be met through the service definition as written, i.e. requires specific behavioral or medical support to access the service as written in the service definition specifications?

AND / OR

2) Of a nature that it must be met by someone with one of the licenses, certificates, or degrees specified in the qualifications?

- If NO – STOP. Enhanced levels of service are not supported for the participant.
- If YES - Add enhanced levels of service to the ISP.

**Respite for children by a nurse:**

Children (under age 21) who have medical needs that require Respite by a nurse can request a variance when the following criteria are met:

- The child is authorized to receive less than 24 hours a day of nursing through private insurance or Medical Assistance;

And one of the following:

- The child requires administration of intravenous fluid or medication, which is specified in a written order by a licensed doctor of the healing arts; or
- The child uses monitoring, defibrillating or resuscitating equipment, or a combination of the three; or
- The child requires other skilled activities that must be provided by a nurse. A list of non-skilled activities that can be performed by professionals other than a nurse is available at <https://www.health.pa.gov/topics/Documents/Facilities%20and%20Licensing/HCAGuidance.pdf>.

Any waiver participant age 21 or older who needs nursing services can receive this type of support through the Shift Nursing service.

#### **Service limits:**

- Respite services are limited to:
  - 30 units of day respite per participant in a period of one fiscal year, and
  - 480 units of 15-minute unit respite per participant in a period of one fiscal year (Consolidated Waiver).
  - 1440 units of 15-minute unit respite per participant in a period of one fiscal year (Community Living or P/FDS Waiver).

Requests for a variance to this limit may be made for participants who have behavioral or medical support needs or for emergency circumstances using the standard ODP variance process. A request for a variance to this limit may not be approved for Respite provided by a nurse unless there is an emergency circumstance involving a child with medical needs who meets the criteria described above. Ongoing nursing needs for children with medical needs are addressed through Medical Assistance Fee-for-Service or Physical Health Managed Care Organizations.

- Participants authorized to receive Respite services (**15-minute or Day**) may not be authorized to receive Residential Habilitation or Supported Living services during the same time period. Respite as a discrete and separate service is allowed for participants who are authorized to receive Life Sharing services.
- Participants authorized to receive **15-minute unit** Respite services may not receive the direct portion of the following services at the same time: Community Participation Support; Small Group Employment; Supported Employment; Advanced Supported Employment; Education Support; Music, Art and Equine Assisted Therapy and Consultative Nutritional Services.
- Participants authorized to receive Respite services (**15-minute or Day**) may not receive the following services at the same time: Companion, In-Home and Community Supports, and Shift Nursing.
- Respite services may not be provided in hospitals, Personal Care Homes or public ICFs/ID (ICFs/ID that are owned and operated by any state).

#### **✍️ SC documentation requirements:**

- Documentation of the purpose of the Respite service must be documented in the ISP (emergency situation, relief of the caregiver, break for the participant, etc.).
- For 2:1 staffing (both enhanced and non-enhanced), the participant's behavioral or medical need for this level of staffing must be documented in the ISP.
- For enhanced levels of service (2:1 and 1:1), the participant's behavioral or medical need for this level of staffing as well as the license(s), certificate(s) or degree(s) that direct service professionals must possess to provide the enhanced level(s) of service must be documented in the ISP.

**The procedure codes, modifiers, and service units for 24-Hour Respite – Unlicensed Out-of-Home and In-Home:**

These codes would be used for Respite in the participant's unlicensed private home (located in Pennsylvania), an unlicensed Life Sharing home (located in Pennsylvania), a licensed Life Sharing home (located Pennsylvania) an unlicensed private home of a family member, friend or other respite provider (located in Pennsylvania, Washington DC, or Virginia or a state contiguous to Pennsylvania), other private homes, hotels, or rentals during temporary travel in accordance with ODP's travel policy and community settings that maintain the participant's schedule of activities.

Provider Type **51** - Home & Community Habilitation

Specialty **512** - Respite Care Home-Based; **513** - Respite Care-Out of Home

Provider Type **54** - Intermediate Services Organization

Specialties: **541** - ISO-Fiscal/Employer Agent; **540** - ISO-Agency with Choice

(Provider type 51 may submit a claim for all the procedure codes listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.)

Service Unit: Day

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 12-Home; 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W9795</b>		Basic Staff Support	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting.  Respite-Unlic-Day (Basic 1:4) Out-of-Home Respite-Unlic-Day (Basic 1:4) In-Home  Staff Ratio 1:4
<b>W9796</b>		Staff Support Level 1	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting.  Respite-Unlic-Day (Level 1, 1:3) Out-of-Home Respite-Unlic-Day (Level 1, 1:3) In-Home  Staff Ratio 1:3
<b>W9797</b>		Staff Support Level 2	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting.  Respite-Unlic-Day (Level 2, 1:2) Out-of-Home Respite-Unlic-Day (Level 2, 1:2) In-Home  Staff Ratio 1:2

<b>W9798*</b>		Staff Support Level 3	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting. Respite-Unlic-Day (Level 3, 1:1) Out-of-Home Respite-Unlic-Day (Level 3, 1:1) In-Home  Staff Ratio 1:1
<b>W9799*</b>	<b>TD or TE</b>	Staff Support Level 3 Enhanced	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting. Respite-Unlic-Day (Level 3, 1:1 Enh) Out-of-Home Respite-Unlic-Day (Level 3, 1:1 Enh) In-Home  Staff Ratio 1:1 with a certified staff member
<b>W9800*</b>		Staff Support Level 4	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting. Respite-Unlic-Day (Level 4, 2:1) Out-of-Home Respite-Unlic-Day (Level 4, 2:1) In-Home  Staff Ratio 2:1
<b>W9801*</b>	<b>TD or TE</b>	Staff Support Level 4 Enhanced	The provision of day respite in an unlicensed out-of-home or unlicensed in-home setting. Respite-Unlic-Day(Level 4, 2:1 Enhcd) Out-of-Home Respite-Unlic-Day (Level 4, 2:1 Enhcd) In-Home  Staff Ratio 2:1 with at least one certified direct service professional who is certified and one direct service professional with at least a high school diploma

Service Unit: Day  
 Provider Type **54** - Intermediate Service Organization  
 Specialty **540** - ISO-Agency with Choice

<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b>
<b>U4*</b>  Only used with W9798 W9799 W9800 W9801	No benefit allowance	This modifier is to be used with the noted procedure codes and modifiers (as appropriate) by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage.
<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Agency With Choice modifier in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Please Note: When billing for two or more modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – TD or TE

2<sup>st</sup> – U4

3<sup>nd</sup> – U1

**The procedure codes, modifiers, and service units for 15-Minute Respite – Unlicensed Out-of-Home and In-Home:**

These codes would be used for Respite in the participant's unlicensed private home that is not a Life Sharing home (located in Pennsylvania), an unlicensed private home of a family member, friend or other respite provider that is not a Life Sharing home (located in Pennsylvania, Washington DC, or Virginia or a state contiguous to Pennsylvania), other private homes, hotels, or rentals during temporary travel in accordance with ODP's travel policy and community settings that maintain the participant's schedule of activities.

Provider Type **51** - Home & Community Habilitation

Specialty **512** - Respite Care Home-Based; **513** - Respite Care-Out of Home

Provider Type **54** - Intermediate Services Organization

Specialties: **541** - ISO-Fiscal/Employer Agent; **540** - ISO-Agency with Choice

(Provider type 51 may submit a claim for all the procedure codes listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below).

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W8096</b>		Basic Staff Support	The provision of 15-minute unit respite in an unlicensed out-of-home or in-home setting. Respite-Unlic- 15-min (Basic 1:4)  Staff Ratio 1:4
<b>W9860</b>		Staff Support Level 1	The provision of 15-minute unit respite in an unlicensed out-of-home or in-home setting. Respite-Unlic-15-min(Level 1, 1:3) Out-of-Home Respite-Unlic-15-min(Level 1, 1:3) In-Home  Staff Ratio 1:3
<b>W9861</b>		Staff Support Level 2	The provision of 15-minute unit respite in an unlicensed out-of-home or in-home setting. Respite-Unlic-15-min(Level 2, 1:2)Out-of-Home Respite-Unlic-15-min(Level 2, 1:2)In-Home

			Staff Ratio 1:2
<b>W9862*</b>		Staff Support Level 3	The provision of 15-minute unit respite in an unlicensed out-of-home or in-home setting. Respites-Unlic-15-min(Level 3, 1:1)Out-of-Home Respites-Unlic-15-min(Level 3, 1:1)In-Home  Staff Ratio 1:1
<b>W9863*</b>	<b>TD or TE</b>	Staff Support Level 3 Enhanced	The provision of 15-minute unit respite in an unlicensed out-of-home or in-home setting. Respites-Unlic- 15-min(Level 3, 1:1 Enhcd)  Staff Ratio 1:1 with a certified direct service professional
<b>W9864*</b>		Staff Support Level 4	The provision of 15-minute unit respite in an unlicensed out-of-home or unlicensed in-home setting. Respites-Unlic-15min(Lvl 4,2:1) Out of Home Respites-Unlic-15-min(Lvl 4, 2:1) In-Home  Staff Ratio 2:1
<b>W8095*</b>	<b>TD or TE</b>	Staff Support Level 4 Enhanced	The provision of 15-minute respite in an unlicensed out-of-home or unlicensed in-home setting. Respites-Unlic-15-min(Level 4, 2:1 Enhanced)  Staff Ratio 2:1 with at least one certified direct service professional who is certified and one direct service professional with at least a high school diploma

Service Unit: 15 minutes

Provider Type **54** - Intermediate Service Organization

Specialty **540** - ISO-Agency with Choice

<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b>
<b>U4*</b>  Only used with W9862 W9863 W9864 W8095	No benefit allowance	This modifier is to be used with the noted procedure codes and modifiers (as appropriate) by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage.
<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Agency With Choice modifier in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Please Note: When billing for two or more modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – TD or TE

2<sup>st</sup> – U4

3<sup>nd</sup> – U1

**The procedure codes, modifiers, and service units for 24-Hour Respite — Licensed Out-Of-Home:**

These codes would be used for Respite provided in a Licensed Community Home (55 Pa. Code Chapter 6400) located in Pennsylvania, a Licensed Child Residential Service Home (55 Pa. Code Chapter 3800) located in Pennsylvania, or a Licensed Community Residential Rehabilitation Services for the Mentally Ill Home (55 Pa. Code Chapter 5310) located in Pennsylvania.

Provider Type **51** - Home & Community Habilitation

Specialty **513** - Respite Care-Out of Home

Service Unit: Day

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W9791</b>	<b>U5</b>	1	The provision of day respite in a licensed out-of-home setting that serves 2 persons. Respite-Lic-Day-2 person-NG 1
<b>W9792</b>	<b>U5</b>	1	The provision of day respite in a licensed out-of-home setting that serves 3 persons. Respite-Lic-Day-3 person-NG 1
<b>W9793</b>	<b>U5</b>	1	The provision of day respite in a licensed out-of-home setting that serves 4 persons. Respite-Lic-Day-4 person-NG 1
<b>W9791</b>	<b>U6</b>	2	The provision of day respite in a licensed out-of-home setting that serves 2 persons. Respite-Lic-Day-2 person-NG 2
<b>W9792</b>	<b>U6</b>	2	The provision of day respite in a licensed out-of-home setting that serves 3 persons. Respite-Lic-Day-3 person-NG 2
<b>W9793</b>	<b>U6</b>	2	The provision of day respite in a licensed out-of-home setting that serves 4 persons. Respite-Lic-Day-4 person-NG 2
<b>W9790</b>	<b>U7</b>	3	The provision of day respite in a licensed out-of-home setting that serves 1 person. Respite-Lic-Day-1 person-NG 3

<b>W9791</b>	<b>U7</b>	3	The provision of day respite in a licensed out-of-home setting that serves 2 persons. Respite-Lic-Day-2 person-NG 3
<b>W9792</b>	<b>U7</b>	3	The provision of day respite in a licensed out-of-home setting that serves 3 persons. Respite-Lic-Day-3 person-NG 3
<b>W9793</b>	<b>U7</b>	3	The provision of day respite in a licensed out-of-home setting that serves 4 persons. Respite-Lic-Day-4 person-NG 3
<b>W9790</b>	<b>U8</b>	4	The provision of day respite in a licensed out-of-home setting that serves 1 person. Respite-Lic-Day-1 person-NG 4
<b>W9791</b>	<b>U8</b>	4	The provision of day respite in a licensed out-of-home setting that serves 2 persons. Respite-Lic-Day-2 person-NG 4
<b>W9792</b>	<b>U8</b>	4	The provision of day respite in a licensed out-of-home setting that serves 3 persons. Respite-Lic-Day-3 person-NG 4
<b>W9793</b>	<b>U8</b>	4	The provision of day respite in a licensed out-of-home setting that serves 4 persons. Respite-Lic-Day-4 person-NG 4
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.
	<b>U2</b>		Emergency respite rendered in a licensed waiver-funded 6400 home in which ODP permitted the provision of respite services beyond the approved program capacity of the home

Modifiers U5, U6, U7 and U8 are Support Intensity Scale (SIS) Needs Group Modifiers.

Please Note: When billing for two modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> - U1

**OR**

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> – U2

When billing for three modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – U5, U6, U7 or U8

2<sup>nd</sup> – U23<sup>rd</sup> – U1

**The procedure codes, modifiers, and service units for 24-Hour Respite – Respite Only Homes:**

These codes would be used for a home that is licensed under 55 Pa. Code Chapter 6400 that solely provides respite services in the home.

Provider Type **52** - Community Residential Habilitation

Specialty **513** - Respite Care-Out of Home

Service Unit: Day

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description HCSIS Description</b>
<b>W9865</b>	<b>U5</b>	1	The provision of day respite in a respite only home with an approved program capacity of 2 persons. Respite Only Home-2 People-Lic-Day-NG 1
<b>W9866</b>	<b>U5</b>	1	The provision of day respite in a respite only home with an approved program capacity of 3 persons. Respite Only Home-3 People-Lic-Day-NG 1
<b>W9871</b>	<b>U5</b>	1	The provision of day respite in a respite only home with an approved program capacity of 4 persons. Respite Only Home-4 People-Lic-Day-NG 1
<b>W9865</b>	<b>U6</b>	2	The provision of day respite in a respite only home with an approved program capacity of 2 persons. Respite Only Home-2 People-Lic-Day-NG 2
<b>W9866</b>	<b>U6</b>	2	The provision of day respite in a respite only home with an approved program capacity of 3 persons. Respite Only Home-3 People-Lic-Day-NG 2
<b>W9871</b>	<b>U6</b>	2	The provision of day respite in a respite only home with an approved program capacity of 4 persons. Respite Only Home-4 People-Lic-Day-NG 2
<b>W9865</b>	<b>U7</b>	3	The provision of day respite in a respite only home with an approved program capacity of 2 persons. Respite Only Home-2 People-Lic-Day-NG 3
<b>W9866</b>	<b>U7</b>	3	The provision of day respite in a respite only home with an approved program capacity of 3 persons. Respite Only Home-3 People-Lic-Day-NG 3
<b>W9871</b>	<b>U7</b>	3	The provision of day respite in a respite only home with an approved program capacity of 4 persons.

			Respite Only Home-4 People-Lic-Day-NG 3
<b>W9865</b>	<b>U8</b>	4	The provision of day respite in a respite only home with an approved program capacity of 2 persons. Respite Only Home-2 People-Lic-Day-NG 4
<b>W9866</b>	<b>U8</b>	4	The provision of day respite in a respite only home with an approved program capacity of 3 persons. Respite Only Home-3 People-Lic-Day-NG 4
<b>W9871</b>	<b>U8</b>	4	The provision of day respite in a respite only home with an approved program capacity of 4 persons. Respite Only Home-4 People-Lic-Day-NG 4
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifiers U5, U6, U7 and U8 are Support Intensity Scale (SIS) Needs Group Modifiers.

**The procedure codes, modifiers, and service units for Exceptional Day Respite:**

These codes would be used for day respite provided in the following enrolled and qualified settings when the participant has a Needs Group 3 or 4 that indicates medical or behavioral needs and the participant is unable to locate a respite provider to render services in a community setting. (NOTE: Before these services can be provided, a Variance Form (DP 1086) must be completed. Consult Bulletin 00-18-06, *Variance Form and Process*, or its successor for instructions.)

- Licensed intermediate care facilities for individuals with an intellectual disability (55 Pa. Code Chapter 6600) that are owned and operated by private agencies.
- Licensed Nursing Homes (28 Pa. Code Chapters 201, 203, 205, 207, 209 and 211).
- Homes Licensed under 55 Pa. Code Chapter 6400, 3800 or 5310 located in Pennsylvania within the home's approved program capacity of 5 to 8.

These codes should also be used for day respite provided in a private licensed facility or a non-waiver licensed facility in an emergency circumstance.

The rate for Exceptional Day Respite provided in a home licensed under 55 Pa. Code Chapter 6400, 3800 or 5310 must be the fee schedule rate developed for Residential Habilitation services provided. The rate entered for Respite in one of the other locations listed must be the same as the rate charged for any other person receiving services in that location.

Provider Type **52** - Community Residential Habilitation

Specialties **456** - CRR-Adult; **513** - Respite Care - Out of Home; **520** - Child Residential Services-3800; **521** - Adult Residential-6400

Service Unit: Day

## Age Limits &amp; Funding:

Consolidated, Community Living &amp; P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Needs Group</b>	<b>Service Description HCSIS Description</b>
<b>H0045</b>	<b>U5</b>	1	The provision of exceptional day respite. Respite, Non-Waiver Setting/PLF, NG 1
<b>H0045</b>	<b>U6</b>	2	The provision of exceptional day respite. Respite, Non-Waiver Setting/PLF, NG 2
<b>H0045</b>	<b>U7</b>	3	The provision of exceptional day respite. Respite, Non-Waiver Setting/PLF, NG 3
<b>H0045</b>	<b>U8</b>	4	The provision of exceptional day respite. Respite, Non-Waiver Setting/PLF, NG 4
<b>H0045</b>	<b>U5</b>	1	The provision of exception day respite. Respite, Non-Waiver/PLF Setting, NG 1
<b>H0045</b>	<b>U6</b>	2	The provision of exception day respite. Respite, Non-Waiver/PLF Setting, NG 2
<b>H0045</b>	<b>U7</b>	3	The provision of exception day respite. Respite, Non-Waiver/PLF Setting, NG 3
<b>H0045</b>	<b>U8</b>	4	The provision of exception day respite. Respite, Non-Waiver/PLF Setting, NG 4
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.
	<b>HE</b>		This modifier must be used as it denotes ODP specific code

**The procedure codes and service units for Waiver Respite Camp, 24 hours and 15 minute Services:**

Provider Type **55** - VendorSpecialty **554** - Respite, Overnight Camp (24-hour); **555** - Respite, Day Camp (15 minute unit)Provider Type **54** - Intermediate Services OrganizationSpecialties: **541** - ISO-Fiscal/Employer Agent; **540** - ISO-Agency with Choice

A provider agency functioning as an OHCDs may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.

**Age Limits & Funding:**

Consolidated, Community Living and P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 99-Community

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>	<b>Service Unit</b>
<b>W7285*</b>	<b>U1</b>	<b>Respite – Camp, 24 hours, Eligible</b>	The eligible portion of the Waiver Respite Camp service provided in segments of day units in residential camp settings. Respite Camp Services may not be used for emergency respite situations.  Respite Camp, 24 Hours, Eligible-Day	Day
<b>W7286*</b>	<b>U1</b>	<b>Respite – Camp, 15 minutes, Eligible</b>	This Respite Camp service is provided in segments of 16 hours or less in day camp settings. Respite Camp Services may not be used for emergency respite situations.  Respite Day Camp, 15 Mins, Eligible-15 Mins-	15 minutes

U1 - Utilized with the appropriate procedure code to allow providers, who are approved by the Department, to receive the Enhanced Communication Services Rate.

**Section 14.19: Shift Nursing**

Shift Nursing is a direct service that can be provided either part-time or full-time in accordance with 49 Pa. Code Chapter 21 (State Board of Nursing) which provides the following service definition for the practice of professional nursing:

"Diagnosing and treating human responses to actual or potential health problems through such services as case finding, health teaching, health counseling, provision of care supportive to or restorative of life and well-being, and executing medical regimens as prescribed by a licensed physician or dentist. The term does not include acts of medical diagnosis or prescription of medical, therapeutic or corrective measures, except as may be authorized by rules and regulations jointly promulgated by the State Board of Medicine and the Board, which rules and regulations will be implemented by the Board."

Shift nursing for adult participants (participants age 21 and older) is generally not available through Medical Assistance Fee-For-Service or Physical Health Managed Care Organizations. Home health care, which is defined as a rehabilitative nursing component, is the only service available in the participant's home through Medical Assistance.

Shift Nursing services can only be provided to adult participants. All medically necessary shift nursing services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Shift Nursing services may only be funded for adult participants through the Waiver if documentation is secured by the Supports Coordinator that shows the service is medically necessary and either not covered by the participant's insurance or insurance limitations have been reached. A participant's insurance includes Medical Assistance (MA), Medicare and/or private insurance.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania. During temporary travel, this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

**Additional Service Definition Clarification:**

- The changing of new tracheostomy and gastrostomy tubes requires treatment by a health care practitioner (physician, physician's assistant, certified nurse practitioner) and not a nurse. Home Biphase Intermittent Positive Airway Pressure (BiPAP) and Continuous Positive Airway Pressure (CPAP) do not require nursing presence. Many medications can be administered by direct service professionals who are not nurses. For more information please refer to the Pennsylvania Department of Health's guidance regarding non-skilled services/activities that can be performed by direct care workers at <https://www.health.pa.gov/topics/Documents/Facilities%20and%20Licensing/HCAGuidance.pdf>
- Children aging out of EPSDT (reaching their 21<sup>st</sup> birthday) and receiving home health service as well as children aging out of the school system (IDEA) and receiving nursing services must be assessed for their current service needs through the waivers. They will not automatically receive nursing services through ODP.

**Determining the need for services:**

The following additional questions should be used to establish a determination of need:

- Does this participant have an unstable airway that without immediate intervention could cause respiratory arrest (stop breathing)?
- Does this participant need clinical treatment that either requires the presence of a nurse or that can be taught to a lay person and monitored by a nurse?
- Does this participant have someone supporting him or her that can be taught treatment techniques and maintain equipment and service in a home program?
- Can care be safely and effectively administered in the home setting and life-supporting equipment be managed?
- The need for the service must be evaluated on a periodic basis, at least annually, as part of the ISP process. This evaluation must review whether the participant continues to require the current level of authorized services and that the service continues to result in positive outcomes for the participant.

**Service limits:**

- The service must be provided by a licensed registered nurse (RN) or a licensed practical nurse (LPN).
- Participants authorized to receive Shift Nursing services may not receive the following services at the same time as this service: Respite (15-minute or Day); Companion; In-Home and Community Supports; Community Participation Support; Therapies and Consultative Nutritional Services.
- Participants authorized to receive Residential Habilitation, Life Sharing or Supported Living services may not be authorized to receive Shift Nursing services except in the following circumstance. Participants who receive nursing supports on a daily basis as part of Residential Habilitation, Life Sharing or Supported Living services can be authorized to receive Shift Nursing as a separate and discrete service solely for the hours of a home visit and as deemed necessary in accordance with the Shift Nursing service definition when there is documentation of the following:
  - The residential provider is unable to provide nursing supports; and
  - The person(s) with whom the individual will have a home visit are unable to provide the nursing support during the visits.
  - In situations where individuals who reside in a residential setting need this type of staffing support for a visit with family or friends, there should be a service plan team discussion with the residential provider about their ability and/or willingness to provide such support during the visit. ODP encourages residential providers to provide such staffing support as it enables the individual to live an Everyday Life. It also enables the provider to more fully understand the relationships the individual has outside of the residential setting, which might impact the individual while at the residential setting. When residential providers render staffing support for such visits, the hours count as part of the residential day unit and are reimbursed as part of the residential day unit.

**✍ SC documentation requirements:**

- That an evaluation indicating the need for nursing services, specifying the need for services by a licensed registered nurse (RN) or a licensed practical nurse (LPN), has been completed.
- Documentation, including the most recent nursing care plan, from the nursing service provider to confirm that nursing care continues to be appropriate.
- The supports to be provided by each nursing professional must be determined to arrive at the appropriate units of service.
- An emergency action and transportation plan consistent with the participant's condition is present prior to the beginning of service.
- Document how Shift Nursing services support the individual's Outcome Statement in the Outcome Actions.
- Shift Nursing services may only be funded for adults through the waivers if documentation is secured by the SC that shows the service is medically necessary (i.e. functions that can only be provided by a registered nurse or licensed practical nurse) and there is documentation of one of the following: the nursing service is not covered by the participant's insurance, nursing services have been denied by the insurance carrier or insurance limitations for nursing services have been reached. While written documentation from insurance carriers of limitations, lack of coverage for services and denials must be requested; ODP will also accept the following documentation when insurance carriers decline to provide written documentation:
  - A copy of the policy or some other written statement documenting that the service, item or amount requested exceeds the allowable service limit or that the service is not covered.
  - Adult participants are not entitled to private duty nursing/shift nursing through the Medical Assistance program's fee-for-service or managed care delivery systems. The Medical Assistance program's Adult Benefit Package Chart indicates that home health care is the only service available in the individual's home with a nursing and/or therapy component. This chart is available at the end of OMAP Bulletin 99-15-05 which can be accessed at [http://www.dhs.state.pa.us/cs/groups/webcontent/documents/bulletin\\_admin/c\\_1\\_72249.pdf](http://www.dhs.state.pa.us/cs/groups/webcontent/documents/bulletin_admin/c_1_72249.pdf). This chart should be printed and kept in each participant's file as documentation that private duty nursing/shift nursing is not available for participants 21 years of age and older.
  - Written confirmation of information received verbally from an insurance carrier should the insurance carrier decline to send a denial letter is acceptable only when it: a) is sent to the insurance carrier, b) identifies the item or service in question, and c) requests that the insurance carrier advise the writer of any inaccuracy.

**The procedure code, modifiers, and service units for Shift Nursing:****Nursing Services--RN**

Provider Type **16** - Nurse  
Specialty **160** - Registered Nurse

Provider Type **05** - Home Health

Specialty **051** - Private Duty Nursing

Service Unit: 15 minutes

Age Limits &amp; Funding:

Consolidated, Community Living &amp; P/FDS Waivers: 21-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>T2025</b>	<b>TD</b>	Nursing Service – RN	This service consists of Nursing services within scope of practice. Nursing - (1:1) RN-15 minutes  Staffing Ratio 1:1
<b>T2025</b>	<b>TD, UN</b>	Nursing Service – RN	This service consists of Nursing services within scope of practice. Nursing (1:2) RN  Staffing Ratio 1:2
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code and modifiers above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier UN is used to identify shift nursing at the 1:2 ratio

Please Note: When billing for two or more modifiers for this service they must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – TD

2<sup>nd</sup> – UN

3<sup>rd</sup> – U1

**Nursing Services--LPN**Provider Type **16** - NurseSpecialty **161** - Licensed Practical NurseProvider Type **05** - Home HealthSpecialty **051** - Private Duty Nursing

Service unit: 15 minutes

Age Limits &amp; Funding:

Consolidated, Community Living &amp; P/FDS Waivers: 21-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>T2025</b>	<b>TE</b>	Nursing Service – LPN	This service consists of Nursing services within scope of practice. Nursing - (1:1) LPN-15 minutes Staffing ratio 1:1
<b>T2025</b>	<b>TE, UN</b>	Nursing Service – LPN	This service consists of Nursing services within scope of practice. Nursing (1:2) LPN Staffing ratio 1:2
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code and modifiers above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier UN is used to identify shift nursing at the 1:2 ratio

Please Note: When billing for two or more modifiers for this service they must be listed in the following order for the claim to process correctly:

- 1<sup>st</sup> – TE
- 2<sup>nd</sup> – UN
- 3<sup>rd</sup> – U1

**Section 14.20: Specialized Supplies**

Specialized Supplies consist of incontinence supplies that are medically necessary and are not a covered service through the MA State Plan, Medicare or private insurance. Supplies are limited to diapers, incontinence pads, cleansing wipes, underpads, and vinyl or latex gloves.

Specialized Supplies can only be provided to adult waiver participants (participants age 21 and older). All medically necessary Specialized Supplies for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Specialized Supplies may only be funded for adult participants if documentation is secured by the Supports Coordinator that shows the supplies are medically necessary and either not covered by the participant's insurance or insurance limitations have been reached. A participant's insurance includes Medical Assistance (MA), Medicare and/or private insurance.

During temporary travel, this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

**Service limits:**

- Participants authorized to receive Specialized Supplies may not be authorized to receive Residential Habilitation, Life Sharing or Supported Living services.
- This service is limited to \$500 per participant per fiscal year.

**✍ SC documentation requirements:**

- Specialized Supplies may only be funded for adults through the waivers if documentation is secured by the SC that shows the service is medically necessary and there is documentation of one of the following: the specialized supplies are not covered by the participant's insurance, the specialized supplies have been denied by the insurance carrier or insurance limitations for specialized supplies have been reached. While written documentation from insurance carriers of limitations, lack of coverage for services and denials must be requested; ODP will also accept the following documentation when insurance carriers decline to provide written documentation:
  - A copy of the policy or some other written statement documenting that the service, item or amount requested exceeds the allowable service limit or that the service is not covered.
  - Written confirmation of information received verbally from an insurance carrier should the insurance carrier decline to send a denial letter is acceptable only when it: a) is sent to the insurance carrier, b) identifies the item or service in question, and c) requests that the insurance carrier advise the writer of any inaccuracy.

**The procedure code and service unit for Specialized Supplies:**

Provider Type **55** - Vendor  
Specialty **553**, Habilitation Supplies

Provider Type **54** - Intermediate Services Organization

Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(A provider agency functioning as an OHCDS may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: Vendor Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 12-Home; 99-Community

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b>
		<b>HCSIS Description</b>
<b>W6089*</b>	<b>Specialized Supplies</b>	Incontinence supplies not available through the State Plan or private insurance, limited to diapers, incontinence pads, cleansing wipes, under pads, and vinyl or latex gloves. This service is limited to \$500 per individual per fiscal year.  Specialized Supplies

### **Section 14.21: Supports Broker Services**

The Supports Broker service is a direct and indirect service available to participants who elect to self-direct their own services utilizing one of the participant directed options outlined in Appendix E-1 of this Waiver. The Supports Broker service is designed to assist participants or their designated surrogate with employer-related functions in order to be successful in self-directing some or all of the participants needed services.

This service is limited to the following list of activities:

- Explaining and providing support in completing employer-or managing employer related paperwork.
- Participating in Financial Management Services (FMS) orientation and other necessary trainings and interactions with the FMS provider.
- Developing effective recruiting and hiring techniques.
- Determining pay rates for Support Service Professionals.
- Providing or arranging for training for Support Service Professionals.
- Developing schedules for Support Service Professionals.
- Developing, implementing and modifying a back-up plan for services, staffing for emergencies and/or Support Service Professional absences.
- Scheduling paid and unpaid supports.
- Developing effective management and supervision techniques such as conflict resolution.
- Developing proper procedures for termination of Support Service Professionals in the VF/EA FMS option or communication with the Agency With Choice regarding the desire for removal of Support Service Professionals from working with the participant in the AWC FMS option.
- Reviewing of workplace safety issues and strategies for effective management of workplace injury prevention.
- Assisting the participant or their designated surrogate in understanding and/or fulfilling the responsibilities outlined in the Common Law Employer Agreement form and the Managing Employer Agreement form.
- Facilitating a support group that helps to meet the participant's self-direction needs. These support groups are separate and apart from the service plan team meetings arranged and facilitated by the Supports Coordinator.
- Expanding and coordinating informal, unpaid resources and networks within the community to support success with participant direction.
- Identifying areas of support that will promote success with self-direction and independence and share the information with the team and Supports Coordinator for inclusion in the service plans.
- Identifying and communicating any proposed modifications to the participant's service plan.
- Advising and assisting with the development of procedures to monitor expenditures and utilization of services.
- Complying with the standards, regulations, policies and the waiver requirements related to self-direction.
- Advising in problem-solving, decision-making, and achieving desired personal and assessed outcomes related to the participant directed services.
- When applicable, securing a new surrogate and responding to notices for corrective action from the FMS, SC, AE or ODP.

- All functions performed by a Supports Broker must be related to the personal and assessed outcomes related to the participant directed services in the service plan.

Supports Brokers must work collaboratively with the participant's Supports Coordinator and service plan team. Supports Brokers may not replace the role of or perform the functions of a Supports Coordinator. The role of the Supports Coordinator continues to involve providing the primary functions of locating, coordinating, and monitoring of waiver services; while the Supports Broker assists participants or their designated surrogate with assistance with the above noted functions. No duplicate payments will be made.

Supports Broker Services may be provided by individual and agency providers that provide other Waiver, intellectual disability or autism services but the Supports Broker provider must be conflict free. In order to be conflict free, the Supports Broker provider may not provide other direct or indirect waiver services or base funded intellectual disability services when authorized to provide Support Broker services to the participant. In addition, Supports Broker providers may not provide administrative services such as Health Care Quality Unit or Administrative Entity functions. However, an IM4Q program may provide Supports Broker services to participants who they are not responsible for interviewing.

The VF/EA FMS is required to provide the VF/EA FMS administrative service and pay for all identified participant directed services authorized for a participant who is self-directing through the VF/EA FMS Intermediate Services Organization Provider Type. Self-directing participants in the VF/EA FMS program may employ Supports Brokers through a Common-Law Employer relationship; when this occurs, Supports Brokers will be considered "Support Service Professionals" (SSP) for the purposes of this definition.

AWC FMS providers are required to provide AWC FMS administrative services in addition to all identified participant directed waiver services authorized for a participant who is self-directing through an AWC FMS provider. As such, the AWC FMS provider is able to provide both Supports Broker services and other participant directed waiver services to the same participant, but only as an AWC FMS Intermediate Services Organization Provider Type.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania. During temporary travel, this service may be provided in Pennsylvania or other locations as per the ODP travel policy.

#### **Additional Service Definition Clarification:**

- When Supports Broker services are provided in a waiver residential services setting (see below), progress towards transitioning to a private residence should be reviewed on an annual basis to ensure the effectiveness of the service in meeting this goal. Remember that unsuccessful attempts to transition (e.g. a situation where transition plans are made but ultimately fail) are not indicative of lack of progress. However, the absence of transition planning or use of the service to support a participant who plans to remain in a residential service setting is not permitted and does not support ongoing provision of the service. Documentation to this effect should be maintained.

- Supports Broker services are excluded from the calculation of the P/FDS cap because the services are integral to ensuring the success of participants in utilizing participant directed service models.
- It is important to have a discussion with the participant and/or surrogate and Supports Broker about the expected frequency and duration of the service. The Supports Broker service is often more intensive when a participant first begins self-directing, during periods of transition and with staff turnover.
- It is allowable for Supports Broker services to be the first and only participant directed service on an ISP for a period of time to assist common law employers or managing employers in activities such as recruiting, hiring, determining pay rates and scheduling support service professionals for other services that will be self-directed.

### **Determining the need for services:**

The following additional questions should be used to determine a need for this service:

- The participant, and/or surrogate, is self-directing the participant's services and they need support with the functions listed above.
- The purpose of the Supports Broker service is to assist the participant and provide training and support, not to actually perform the activities.
- Determine what assistance or support is needed for the participant to perform the managing employer or common law employer functions and define the timeframe and activities to be provided.
- Documentation to support the continued need for service as necessary for service re-authorization (i.e. to train on a new skill or progress demonstrated to date on current Outcome Actions).
- Supports Brokers should assist participants with the functions and activities utilized to manage or co-manage their support service professionals.

### **Service Limits:**

- Participants authorized to receive Supports Broker services may not be authorized to receive Residential Habilitation Services, Life Sharing or Supported Living unless they are planning to transition to participant-directed services in a private home.
- This service is limited to a maximum of 1,040 (15-minute) units, which is equal to 260 hours, per participant per fiscal year.

### **SC documentation requirements:**

- That the participant is self-directing services and that each role the Supports Broker will perform is vital to the support of the participant in self-directing those services.
- The specific activities that the Supports Broker will be completing to support the outcome of the service.

### **The procedure code and service unit for Supports Broker Services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **509** - Supports Broker

Provider Type **54** - Intermediate Services Organization  
Specialties: **541** - ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Provider type 51 may submit a claim for the procedure code listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541 for the asterisked procedure code below).

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

Procedure Code	Allowable Modifiers	Service Level	Service Description HCSIS Description
<b>W7096*</b>		<b>Supports Broker Services</b>	Direct and indirect services to individuals who are self-directing their services through either employer authority or budget authority. This service is limited to a maximum of 1,040 units or 260 hours per individual per fiscal year based on a 52-week year.  Supports Broker Services-15 Mins  Staff Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier should be utilized with the procedure code above for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Service Unit: 15 minutes

Provider Type **54** - Intermediate Service Organization

Specialty **540**, ISO-Agency with Choice

Allowable Modifiers	Service Level	Service Description HCSIS Description
<b>U4*</b>  Used with W7096	No benefit allowance	This modifier is to be used with the noted procedure code by the Agency With Choice Financial Management Service when no benefit allowance is paid to the support service professional as part of the wage.  Supports Broker Services-15 Mins-U4
<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Agency With Choice modifier in this table for the direct

		provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.
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## **Section 14.22: Supports Coordination**

Supports Coordination is a critical service that involves the primary functions of locating, coordinating, and monitoring needed services and supports for participants. This includes locating, coordinating and monitoring needed services and supports when a participant is admitted to a nursing home or hospital for less than 30 days.

The most important element of quality Supports Coordination is building relationships. When strong relationships are developed the quality of supports and services improves. Building relationships is not a separate and distinct activity; it is integral to each function the support coordinator performs.

Locating services and supports consists of assistance to the participant and his or her family in linking, arranging for, and obtaining services specified in the service plan, including resources in the community, competitive integrated employment, needed medical, social, habilitation, and participant direction opportunities.

Activities under the locating function include all of the following, as well as the documentation of the activities:

- Assist the participant in choosing people to be part of the service plan team;
- Assist the participant to invite other people of the participant's choice who may contribute valuable information during the planning process;
- Engage in meaningful conversations with the participant and his or her family, providers and others who provide support to develop, update, and implement the service plan;
- Link support needs of the participant and his or her family identified in the service plan with resources in the community;
- Research existing and identify new resources in the community;
- Gather and share information with which to identify needs and concerns and build partnerships in support of the participant and his or her family;
- Inform participants, their families and other caregivers about the use of unpaid, informal, generic, and specialized services and supports that are necessary to address the identified needs of the participant and to achieve the outcomes specified in the service plan;
- Assist the participant and his or her family in identifying and choosing willing and qualified providers;
- Make referrals to providers (unpaid or paid) with information and follow-up support;
- Participate in the ODP standardized needs assessment process to inform development of the service plan, including any necessary service plan updates;
- Facilitate the completion of additional assessments, based on participants' strengths, needs and preferences for planning purposes and service plan development;
- Provide participants and his or family with information on competitive integrated employment during the planning process and upon request;
- Provide participants and their families or other caregivers with information on participant direction opportunities, including the potential benefits and risks associated with directing services, during the planning process and upon request;
- Provide participants and their families or other caregivers with the standard ODP information about participant direction, an explanation of the options and the contact information for the Financial Management Services provider; and
- Provide information to participants and his or her family on fair hearing rights and assist with fair hearing requests when needed and upon request.

Coordinating consists of development and ongoing management of the service plan in cooperation with the participant, his or her family, and members of the service plan team. Activities under the coordinating function include all of the following, as well as the documentation of the activities:

- Use a person centered planning approach and a team process to develop the participant's service plan to promote community integration and to meet the participant's needs in the least restrictive manner;
- Review and update the participant's service plan annually;
- Revise the participant's service plan when there is a change in need or at the request of the participant and his or her family;
- Use information from the LifeCourse framework that helps lead to the good life that the participant and his or her family envision and assist with the development of the participant's service plan, including any updates to the service plan;
- Use information from the ODP standardized needs assessment, as well as any additional assessments completed to develop the service plan to ensure the service plan addresses all of the participant's needs;
- Periodic review of the service plan with the participant, his or her family, and/or members of the service plan team;
- Periodic review of the standardized needs assessment with the participant and his or her family, at least annually or more frequently based on changes in a participant's needs, to ensure the assessment is current;
- Coordinate service plan planning with providers of service and other entities, resources and programs as necessary to ensure all areas of the participant's needs are addressed;
- Collaborate with his or her family, friends, and other community members to facilitate coordination of the participant's social network and develop supporting partnerships in order for the participant to have a good life;
- Coordinate meetings with participant and his or her family with other participants and his or her family receiving services from the providers under consideration and who would be willing to give consent to share their experiences about those providers;
- Coordinate meetings between the participant and his or her family members and provider management staff to discuss provider practices in delivering services;
- Coordinate the resolution of barriers to service delivery;
- Distribute information to participants, his or her family and others who are responsible for planning and implementation of services and support; and
- Assist with the transition to the participant direction service delivery model if the participant is interested in this model, and ensure continuity of services during transition.

Monitoring consists of ongoing contact with the participant and his or her family, to ensure services are implemented as per the service plan. Monitoring is intended to ensure that participants and his or her family are getting the support they need, when they need them, in order to see measurable improvements in their lives. Activities under the monitoring function include all of the following, as well as the documentation of the activities:

- Monitor the health and welfare of participants through regular contacts at the minimum frequency outlined in Appendix D-2-a of this Waiver or increased monitoring frequency based on the need of the participant. Monitoring the health and welfare of participants includes the review of information in health risk screening tools, when applicable, or whether there have been any changes in orders, plans or medical interventions prescribed or recommended by medical or behavioral professionals and whether those changes are being implemented;

- Monitor service plan implementation through monitoring visits with the participant, at the minimum frequency outlined in Appendix D-2-a of this Waiver or increased monitoring frequency based on the need of the participant;
- Visit with the participant and his or her family, and providers of service for monitoring of health and welfare and service plan implementation;
- Respond to and assess emergency situations and incidents and assure that appropriate actions are taken to protect the health and welfare of participants;
- Review participant progress on outcomes and initiate service plan team discussions or meetings when services are not achieving desired outcomes;
- Monitor participant and his or her family satisfaction with services;
- Arrange for modifications in services and service delivery, as necessary to address the needs of the participant, and modify the service plan accordingly;
- Ensure that services are identified in the service plan;
- Work with the authorizing entity regarding the authorization of services on an ongoing basis and when issues are identified regarding requested services;
- Communicate the authorization status to service plan team members, as appropriate;
- Validate that service objectives and outcomes are consistent with the participant's needs and desired outcomes;
- Advocate for continuity of services, system flexibility and community integration, proper utilization of facilities and resources, accessibility, and participant rights; and
- Participate in activities related to Independent Monitoring for Quality, such as obtaining consent to participate from the participant, preparing survey information, and follow up activities ("closing the loop") and other activities as identified by ODP.

The following activities are excluded from Supports Coordination as a billable Waiver service:

- Intake for purposes of determining whether a participant has an intellectual disability and qualifies for Medical Assistance;
- Conducting Medicaid eligibility certification or recertification, intake processing, Medicaid pre-admission screening for inpatient care, prior authorization for Medicaid services, and Medicaid outreach (methods to inform or persuade individuals to enter into care through the Medicaid system);
- Any function that is delegated to the Supports Coordination Organization by an Administrative Entity;
- Direct Prevention Services, which are used to reduce the probability of the occurrence of an intellectual disability resulting from social, emotional, intellectual, or biological disorders;
- Travel time incurred by the Supports Coordinator may not be billed as a discrete unit of service;
- Services otherwise available under the MA State Plan and other programs;
- Services that constitute the administration of foster care programs;
- Services that constitute the administration of another non-medical program such as child welfare or child protective services, parole and probation functions, legal services, public guardianship, and special education;
- Direct delivery of medical, educational, social, or other services;
- Delivery of medical treatment and other specialized services including physical or psychological examinations or evaluations;
- The actual cost of the direct services other than Supports Coordination that the Supports Coordinator links, arranges, or obtains on behalf of the participant;

- Transportation provided to participants to gain access to medical appointments or direct Waiver services other than Supports Coordination;
- Representative payee functions; and
- Assistance in locating and/or coordinating burial or other services for a deceased participant.

During temporary travel Supports Coordination may be provided in Pennsylvania or other locations as per the ODP travel policy.

**Service Limits:**

- Supports Coordination services may not duplicate other direct Waiver services.

**The procedure code and service units for Waiver Funded Supports Coordination Services:**

Provider Type **21** - Case Manager  
Specialty **218**, ID Case Management

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7210</b>	Waiver-Funded Supports Coordination	Locating, coordinating, and monitoring needed services and supports for waiver individuals. Supports Coordination  Staffing Ratio 1:1

**Section 14.23: Therapy Services**

Therapy services include the following:

- Physical therapy based on a prescription for a specific therapy program by a physician.
- Occupational therapy based on a prescription for a specific therapy program by a physician.
- Speech/language therapy based on an evaluation and recommendation by an American Speech-Language-Hearing Association (ASHA) certified and state licensed speech-language pathologist or a physician.
- Orientation, mobility and vision therapy based on an evaluation and recommendation by a trained mobility specialist/instructor or a physician.

Therapy services are direct services provided to assist participants in the acquisition, retention, or improvement of skills necessary for the participant to live and work in the community, and must be attached to a participant's outcome as documented in his or her service plan. Training caretakers and development and monitoring of a home program for caretakers to implement the recommendations of the therapist are included in the provision of Therapy services. The need for the service must be documented by a professional as noted above for each service and must be evaluated at least annually, or more frequently if needed, as part of the service plan process. This evaluation must review whether the participant continues to require the current level of authorized services and that the service continues to result in positive outcomes for the participant. It is recognized, however, that long-term Therapy services may be necessary due to a participant's extraordinary medical or behavioral conditions. The need for long-term Therapy services must be documented in the participant's service plan.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

**Additional Service Definition Clarification**

Implementation of a Home Therapy Program can be done by the participant and those people who support the participant. A Home Therapy Program is a set of activities for a participant designed to reach particular goals and taught to the participant and his or her caregivers by a therapist; performed at home by the participant and caregivers on a regular basis (often daily); and monitored by a therapist. Home programs require infrequent, periodic monitoring by the appropriate therapist to assure that progress is being made and that the program continues to be appropriate for the needs of the participant. Evaluation, development, training, and monitoring of a home program should be done by the appropriate licensed therapist.

All participants, families and direct service professionals share in the responsibility to reinforce independence and skills that the participants are learning. Successful therapy results require implementation and repetition of the learned skills outside of the therapy sessions.

**Service limits:**

- Therapy services can only be provided to adult participants (participants age 21 and older). All medically necessary Therapy services for children under age 21 are covered through Medical Assistance pursuant to the EPSDT benefit. Further, Therapy services delivered to adult participants must differ in scope from therapy services covered by

Medical Assistance. Therapy services must be delivered in a home and community-based setting and cannot be provided in a clinic or rehabilitative facility setting.

- Children aging out of EPSDT (reaching their 21<sup>st</sup> birthday) or the school system (IDEA) and receiving therapy services must be re-evaluated by a physician, physician's assistant, or a certified nurse practitioner to determine his or her need for Therapy services. They will not automatically receive therapy services through ODP.
- Participants authorized to receive Therapy services may not receive the direct portion of following services at the same time as this service: Community Participation Support; Shift Nursing; Consultative Nutritional Services; Benefits Counseling; Behavioral Support; Supported Living; Supported Employment; Small Group Employment; Music, Art and Equine Assisted Therapy; Education Support and Transportation.

#### **✍️ SC documentation requirements:**

- Therapy services may only be funded for adults through the waivers if documentation is secured by the SC that shows the service is medically necessary and there is documentation of one of the following: either the Therapy service is not covered by the participant's insurance, Therapy services have been denied by the insurance carrier or insurance limitations for Therapy services have been reached. A participant's insurance includes Medical Assistance (MA), Medicare and/or private insurance. While written documentation from insurance carriers of limitations, lack of coverage for services and denials must be requested; ODP will also accept the following documentation when insurance carriers decline to provide written documentation:
  - A copy of the policy or some other written statement documenting that the service, item or amount requested exceeds the allowable service limit or that the service is not covered.
  - Written confirmation of information received verbally from an insurance carrier should the insurance carrier decline to send a denial letter is acceptable only when it: a) is sent to the insurance carrier, b) identifies the item or service in question, and c) requests that the insurance carrier advise the writer of any inaccuracy.

### **Occupational Therapy**

The Occupational Therapy Practice Act (63 P.S. §1501 et seq.) defines occupational therapy as follows: "The evaluation of learning and performance skills and the analysis, selection and adaptation of activities for an individual whose abilities to cope with the activities of daily living, to perform tasks normally performed at a given stage of development and to perform essential vocational tasks which are threatened or impaired by that person's developmental deficiencies, aging process, environmental deprivation or physical, psychological, injury or illness, through specific techniques which include: (1) Planning and implementing activity programs to improve sensory and motor functioning at the level of performance for the individual's stage of development; (2) Teaching skills, behaviors and attitudes crucial to the individual's independent, productive and satisfying social functioning; (3) The design, fabrication and application of splints, not to include prosthetic or orthotic devices, and the adaptation of equipment necessary to assist patients in adjusting to a potential or actual impairment and instructing in the use of such devices and equipment; and (4) Analyzing, selecting and adapting activities to maintain the individual's optimal performance of tasks to prevent disability."

**Determining the need for services:**

This service is designed to do the following:

- Help the participant live more independently in the community or to be more productive and participatory in community life.
- Enhance skills requiring fine motor function.
- Enhance skills that can be incorporated into everyday life for improvement in the independence and performance of Activities of Daily Living (ADLs) or for prevention of the complications of motor disorders.

The following additional questions should be used to establish a determination of need for this service:

- Does the participant have a prescription for this service?
- Is there a formal assessment by an occupational therapist that establishes a need for occupational therapy?
- Does this participant have fine motor limitations?
- Does this participant have a diagnosis of a clinical condition known to have an impact on fine motor skills (e.g. cerebral palsy, hemiplegia or quadriplegia)?
- Does this participant need to work on specific skills in the areas listed above?
- Does this participant need to have regular stretching to prevent contractures because of increased or decreased muscle tone?
- Is this participant capable of, or does he or she have someone supporting him or her who can maintain, working on a home program?
- Does this participant have a degenerative condition that impacts on their fine motor skills and abilities to perform ADLs?
- Does this participant have a feeding problem (dysphasia) and is it safe for him or her to eat by mouth?
- Has this participant recently had an injury, stroke, surgery or other occurrence that precipitated the need for therapy? In this case, the therapy may be medically necessary under their health insurance plan (e.g. Access or managed care company).
- How long has the participant been receiving Occupational Therapy?
- How has the participant benefited from Occupational Therapy?
- How are families and direct service professionals implementing learned skills outside of the Occupational Therapy sessions?

**Service limits:**

- Occupational Therapy must be ordered by a healthcare practitioner under the scope of his or her practice. This includes physicians (MDs or DOs), physician's assistants (PAs) or certified registered nurse practitioners (CRNPs). Occupational therapists may not order their own treatment.

** SC documentation requirements:**

- Functional limitation in fine motor skills.
- Evaluation of the need for Occupational Therapy.

- Need for Occupational Therapy.
- Ability to benefit from Occupational Therapy.
- How Occupational Therapy supports outcome statements (e.g. to increase range of motion or to lean to feed self either independently or with an assist).

**The procedure code, modifier, and service unit for Occupational Therapy Services:**

Provider Type **17** - Therapist  
Specialty **171**, Occupational Therapist

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>T2025</b>	<b>GO</b>	<b>Occupational Therapy</b>	Occupational Therapy service delivered under an outpatient occupational therapy plan of care. Occupational Therapy-15 min Staffing ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier GO is used to identify services rendered by an Occupational Therapist.

Please Note: When billing for Occupational Therapy by a person proficient in Sign Language the modifiers must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – GO

2<sup>nd</sup> - U1

## **Physical Therapy**

Physical Therapy: The Physical Therapy Practice Act (63 P.S. §1301 et seq.) defines physical therapy as follows: "means the evaluation and treatment of any person by the utilization of the effective properties of physical measures such as mechanical stimulation, heat, cold, light, air, water, electricity, sound, massage, mobilization, and the use of therapeutic exercises and rehabilitative procedures including training in functional activities, with or without assistive devices, for the purpose of limiting or preventing disability and alleviating or correcting any physical or mental conditions, and the performance of tests and measurements as an aid in diagnosis or evaluation of function."

### **Additional Service Definition Clarification**

Physical therapy is a service designed to do the following:

- Help the participant to acquire, maintain, and improve skills.
- Help the participant live more independently in the community or to be more productive and participatory in community life.
- Enhance skills requiring gross motor function.
- Enhance skills that can be taught and incorporated into everyday life to improve performance and independence in ADLs or to prevent the complications of motor disorders.

### **Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Does this participant have a prescription for Physical Therapy?
- Is there a formal assessment by a physical therapist that establishes a need for Physical Therapy?
- Does this participant have gross motor limitations (e.g. difficulty navigating, getting around or moving around?)
- Does this participant have a diagnosis of a clinical condition known to have an impact on gross motor skills (e.g. cerebral palsy, hemiplegia or quadriplegia)?
- Does this participant need to work on specific skills in the areas listed above?
- Does this participant need to have regular stretching to prevent contractures because of increased or decreased muscle tone?
- Is this participant capable of or does he or she have someone supporting him or her that can maintain a home program?
- Does this participant have a degenerative condition that impacts his or her gross motor skills including balance and coordination?
- Has this participant recently had an injury, stroke, surgery or other occurrence that precipitated the need for therapy? In this case, the therapy may be medically necessary under their health insurance plan (e.g. Private health insurance, access or managed care company).
- How long has the participant been receiving Physical Therapy?
- How has the participant benefitted from Physical Therapy?

- How are families and direct service professionals implementing learned skills outside of the Physical Therapy sessions?

**Service limit:**

- Evaluation, development, training and monitoring of physical therapy completed at home should be done by a licensed physical therapist.

**✍️ SC documentation requirements:**

- Functional limitation in gross or fine motor skills.
- Evaluation of need for Physical Therapy.
- Ability to benefit from Physical Therapy.
- How Physical Therapy supports Outcome Statements (e.g. to increase range of motion or teach to do stand pivot transfer either independently or with an assist).
- Physical Therapy must be ordered by a health care practitioner under the scope of his or her practice. This includes physicians (MDs or Dos), physician's assistants (PAs) or certified registered nurse practitioners (CRNPs).

**The procedure code, modifier, and service unit for Physical Therapy Services:**

Provider Type **17** - Therapist  
Specialty **170**, Physical Therapist

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>T2025</b>	<b>GP</b>	<b>Physical Therapy</b>	Physical Therapy service delivered under an outpatient physical therapy plan of care. Physical Therapy-15 min Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier GP is used to identify services rendered by a Physical Therapist.

Please Note: When billing for Physical Therapy by a person proficient in Sign Language the modifiers must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – GP

2<sup>nd</sup> - U1

### **Speech and Language Therapy**

Services provided by a licensed and American Speech-Language-Hearing Association (ASHA) certified speech-language pathologist to participants with a wide variety of speech, language, and swallowing differences and disorders. Communication includes speech production and fluency, language, cognition, voice, resonance, and hearing. Swallowing includes all aspects of swallowing, including related feeding behaviors. Speech and language therapy includes:

- Counseling participants, families and caregivers regarding acceptance, adaptation, and decision making about communication, feeding and swallowing, and related disorders.
- Prevention and wellness activities that are geared toward reducing the incidence of a new disorder or disease, identifying disorders at an early stage, and decreasing the severity or impact of a disability associated with an existing disorder or disease.
- Screening participants for possible communication, hearing, and/or feeding and swallowing disorders.
- Assessing communication, speech, language and swallowing disorders. The assessment process includes evaluation of body function, structure, activity and participation, within the context of environmental and personal factors.
- Developing and implementing treatment to address the presenting symptoms or concerns of a communication or swallowing problem or related functional issue. Treatment establishes a new skill or ability or remediates or restores an impaired skill or ability.
- Teaching American Sign Language or another form of communication to an adult waiver participant (a participant who is 21 years of age or older) who is deaf and has been assessed as benefitting from learning American Sign Language or another form of communication is covered under Speech and Language Therapy. Consultation regarding the communication needs of a participant who has nontraditional communication needs is also included under Speech and Language Therapy.

#### **Additional Service Definition Clarification:**

Consultation regarding the communication needs of participants who are deaf is also covered under Speech and Language Therapy. The person who will be providing the consultation must have expertise in deafness in addition to all the other qualification criteria in order to provide the consultation.

This service is designed to do the following:

- Help the participant acquire, maintain and improve skills.
- Help the participant live more independently in the community or be more productive and participatory in community life.
- Enhance skills requiring communication functions.
- Enhance skills that can be incorporated into everyday life to improve the ability of the participant to communicate and participate in community life.

#### **Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Does this participant have a prescription for Speech and Language therapy?
- Is there a formal assessment by a speech and language pathologist that establishes a need for speech and language therapy?
- Does this participant have communication limitations (e.g. lack of language or inability to communicate)?
- Does this participant need to work on specific skills in the areas listed above?
- Is this participant capable of or does he or she have someone supporting them that can maintain working on a home program?
- Has this participant recently had an injury, stroke, surgery or other occurrence that precipitated the need for therapy? In this case, the therapy may be medically necessary under their health insurance plan (e.g. Access or managed care company).
- How long has the participant been receiving Speech and Language therapy?
- How has the participant benefited from Speech and Language therapy?
- How are families and direct service professionals implementing learned skills outside of the speech and language therapy sessions?

**Service limit:**

- Evaluation, development, training and monitoring of Speech and Language Therapy completed at home should be done by an ASHA certified and state licensed speech-language pathologist.

**✍ SC documentation requirements:**

- Functional limitation in communication skills.
- Evaluation of need for Speech and Language Therapy.
- Need for Speech and Language Therapy.
- Ability to benefit from Speech and Language Therapy.
- How Speech and Language Therapy supports Outcome Statements (e.g. to increase ability to communicate using words, gestures or assistive communication devices).

**The procedure code, modifier, and service unit for Speech and Language Therapy Services:**

Provider Type **17** - Therapist  
Specialty **173**, Speech/Hearing Therapist

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description HCSIS Description</b>
<b>T2025</b>	<b>GN</b>	<b>Speech and Language Therapy</b>	Speech/Language Therapy service provided by an ASHA certified and state licensed speech-language pathologist. Speech/Language Therapy-15 min Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with all of the Waiver Procedure Codes and modifiers in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

Modifier GN is used to identify services rendered by a Speech and Language Therapist.

Please Note: When billing for Speech and Language Therapy by a person proficient in Sign Language the modifiers must be listed in the following order for the claim to process correctly:

1<sup>st</sup> – GN

2<sup>nd</sup> – U1

## **Orientation, Mobility and Vision Therapy**

Orientation, mobility and vision therapy: This therapy is for participants who are blind or have visual impairments. The provision of therapy is for the purpose of increasing participants' travel skills and/or access to items used in activities of daily living. This service may include evaluation and assessment of participants and the environments in which they interact, direct service (face-to-face) to participants, and training of support individuals. The provision of this service may result in recommendations for adapting environments or purchasing assistive technology.

### **Additional Service Definition Clarification**

This service is designed to do the following:

- Assist the participant to develop skills needed to move as safely and independently as possible in home, school, work and community environments.
- Enhance the participant's skills that can be incorporated into everyday life to improve the performance and independence in ADLs or to prevent the complications of motor disorders.

### **Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Is this participant blind or does he or she have a visual impairment that impacts on his or her ability to navigate his or her environment?
- Is there a formal or informal assessment by an ACVREP certified professional that establishes a need for orientation, mobility and vision therapy?

### **SC documentation requirements:**

- Documentation that the participant has a visual impairment or is blind.
- Denial from the Department of Labor and Industry's Bureau of Blindness and Visual Services <http://www.dli.pa.gov/Individuals/Disability-Services/bbvs/Pages/default.aspx>.
- Difficulty getting around in the environment related to the visual problems.
- Evaluation from an ACVREP certified professional that specifies:
  - Ability to benefit from orientation, mobility and vision therapy.
  - Need for orientation, mobility and vision therapy to help the participant navigate his or her environment.
  - Outcome actions related to navigating in his or her environment.

### **The procedure code and service unit for Orientation, Mobility and Vision Therapy Services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **517**, Visual & Mobility Therapist

Service Unit: 15 minutes

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 21-120 years old;  
 Base Funding: 0-120 years old  
 Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7246</b>		<b>Visual/Mobility Therapy</b>	Visual/Mobility Training for individuals who are blind or have visual impairments. Orientation-Mobility and Vision Therapy-15 min  Staffing Ratio 1:1
	<b>U1</b>		Enhanced Communication Service - This modifier can be utilized with the Waiver Procedure Code in this table for the direct provision of this service. It signifies that the individual has been assessed as needing this service by staff proficient in Sign Language. ODP must approve the modifier prior to a contract being created in HCSIS for the service with the U1 modifier.

**Section 14.24: Transportation**

Transportation is a direct service that enables participants to access services and activities specified in their approved service plan. This service does not include transportation that is an integral part of the provision of another discrete Waiver service.

This service can be delivered in Pennsylvania and in states contiguous to Pennsylvania.

**Additional Service Definition Clarification:**

- When discrete Transportation services are provided to transport participants as part of Companion or In-Home and Community Support services, only the mileage that exceeds 30 miles on any given day may be billed as the discrete transportation service. Transportation is not included in the wage range for In-Home and Community Support services provided by Support Service Professionals in participant directed services. As such, Transportation services for all miles should be authorized and billed as a discrete service.

**Service limits:**

- For participants under the age of 21, Transportation services may only be used to travel to and from waiver services or a job that meets the definition of competitive integrated employment.
- Participants authorized to receive Transportation services may not receive the direct portion of the following services at the same time: Community Participation Support; Small Group Employment; Supported Employment; job acquisition and job retention in Advanced Supported Employment; Benefits Counseling; Therapies; Education Support; Music, Art and Equine Assisted Therapy and Consultative Nutritional services.
- Participants authorized to receive Residential Habilitation, Life Sharing or Supported Living services may only be authorized for Transportation services as a discrete service when the participant requires transportation to or from a job that meets the definition of competitive integrated employment.
- Transportation services may not be substituted for the transportation services that a state is obligated to furnish under the requirements of 42 CFR § 431.53 regarding transportation to and from providers of Medical Assistance services.

**Transportation (Mile)**

This transportation service is delivered by providers, family members, and other licensed drivers. Transportation Mile is used to reimburse the owner of the vehicle or other qualified licensed driver who transports the participant to and from services, competitive integrated employment, and resources specified in the participant's service. The unit of service is one mile. Mileage will be paid per trip. A trip is defined as from the point of pick-up to the destination while the participant is in the car as identified in the service plan. When transportation is provided to more than one participant at a time, the provider will divide the shared miles equitably among the participants to whom transportation is provided. The provider is required (or it is the legal employer's responsibility under the VF/EA model) to track mileage, allocate a portion to each participant and provide that information to the Supports Coordinator for inclusion in the participant's service plan. This will be monitored through routine provider monitoring activities.

**The procedure code and service unit for Transportation (Mile) Services:**

Provider Type **55** - Vendor  
Specialty **267**, Non-Emergency

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(A provider agency functioning as an OHCDs may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: Per Mile  
Age Limits & Funding:  
Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;  
Base Funding: 0 – 120 years old  
Allowable Place of Service: 99-Community

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7271*</b>	<b>Transportation Mile</b>	Transportation by providers, family members, surrogates who are the employer or managing employer, and other qualified licensed drivers for using vehicles to transport the individual to and from services specified in the individual's approved individual support plan. Round trip mileage is eligible for reimbursement. When Transportation Mile is provided to more than one individual at a time, the total number of units of service provided is equitably divided among the people for whom transportation is being provided. Mileage reimbursement to providers is limited to situations where transportation costs are not included in the provider's rate for other services.  Transportation-Mile

**Public Transportation**

Public transportation services are outcome-based vendor services provided to or purchased for participants to enable them to gain access to services and resources specified in their service plans. The utilization of public transportation promotes self-determination and is made available to participants as a cost-effective means of accessing services and activities. Public transportation may be purchased by an OHCDs for participants who do not self-direct or Financial Management Service Organizations for participants who are self-directing when the public transportation vendor does not elect to enroll directly with ODP. Public transportation purchased for a participant may be provided to the participant on an outcome basis.

**Additional Service Definition Clarification:**

- The Pennsylvania Department of Transportation has clarified that waiver funding **cannot** be used to pay a participant's copay for their Rural Transportation Program for Persons with Disabilities (PwD).
- When entering units in the ISP for public transportation the number of tokens, bus passes, taxi rides, etc., that will be purchased for the participant should be entered.

**The procedure code and service unit for Public Transportation Services:**

Provider Type **55** - Vendor  
Specialty **267**, Non-Emergency

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(A provider agency functioning as an OHCDs may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: Vendor Goods and Services  
Age Limits & Funding:  
Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;  
Base Funding: 0 – 120 years old  
Allowable Place of Service: 99-Community

Procedure Code	Service Level	Service Description HCSIS Description
W7272*	Public Transportation	Public transportation costs to enable individuals to access services and resources specified in the individual's approved and authorized individual support plan.  Transportation-Public

**Transportation-Trip**

This service is transportation provided to participants for which costs are determined on a per trip basis. A trip is defined as transportation to a waiver service or resource specified in the participant's service plan from a participant's private home, from the waiver service or resource to the participant's home, from one waiver service or resource to another waiver service or resource, or transportation to and from a job that meets the definition of competitive integrated employment. Taking a participant to a waiver service and returning the participant to his/her home is considered two trips or two units of service. Trip distances are defined by ODP through the use of zones.

Zones are defined as the following:

- Zone 1 - Greater than 0 and up to 10 miles.
- Zone 2 - Greater than 10 miles and up to 30 miles.
- Zone 3 - Greater than 30 miles.

Providers that transport more than 6 participants as part of Transportation Trip are required to have an aide on the vehicle. If a provider transports 6 or fewer participants, the provider has the discretion to determine if an aide is required. The determination must be based upon the needs of the participants, the provider's ability to ensure the health and welfare of participants and be consistent with ODP requirements for safe transportation.

#### **Determining the need for the service:**

- Providers that transport more than 6 individuals are required to have an aide on the vehicle. The 6 individuals riding on the vehicle can be supported by different funding streams. This requirement is based solely on the amount of individuals in the vehicle. If a provider transports 6 or fewer individuals, the provider has the discretion to determine if an aide is required. The determination must be based upon the needs of the individuals, the provider's ability to ensure the health and welfare of individuals and be consistent with ODP requirements for safe transportation. Providers that bill the transportation trip service and use an aide will be required to bill using a U2 modifier. The U2 modifier will not be present in the ISP, as it is used for billing purposes only.

#### **Service Limits:**

- The mileage that determines a trip zone is calculated by determining the distance from each specific participant's home, from the service to the participant's home, or from one waiver service to another waiver service. The amount of miles calculated to arrive at a particular zone is calculated by taking the most direct route from the participant's home to the service. Each transportation provider must have the data to support each participant's trip (start point is the participant's home for pick-up and address of drop off will determine the number of miles and which zone). The mileage that determines the zone for each participant does not take into account the total miles a participant may be on a vehicle going to pick other individuals up, only the miles from each participant's home to their service location as indicated above. Taking a participant to a service and returning the participant to his/her home is considered two trips or two units of service. (Note: Participants within different zones may ride the same vehicle.)

#### **The procedure codes and service units for Transportation-Trip Services:**

Provider Type **26** - Transportation

Specialty **267**, Non-Emergency

Service Unit: Per trip

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 99-Community

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7274</b>	Zone 1	Zone 1 – greater than 0 and up to 20 miles. Transportation(Zone 1)-Trip
<b>W7275</b>	Zone 2	Zone 2 – greater than 20 and up to 40 miles. Transportation(Zone 2)-Trip

<b>W7276</b>	Zone 3	Zone 3 – greater than 40 and up to 60 miles. Transportation(Zone 3)-Trip
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## **Section 14.25: Vehicle Accessibility Adaptations**

Vehicle accessibility adaptations consist of certain modifications to the vehicle that the participant uses as his or her primary means of transportation to meet his or her needs. The modifications must be necessary due to the participant's disability. The vehicle that is adapted may be owned by the participant, a family member with whom the participant lives, or a non-relative who provides primary support to the participant and is not a paid provider agency of services. This service may also be used to adapt a privately owned vehicle of a life sharing host when the vehicle is not owned by the Life Sharing provider agency.

Vehicle accessibility adaptations consist of installation, repair, maintenance, and extended warranties for the modifications. Regularly scheduled upkeep and maintenance of the vehicle, including warranties that cover the entire vehicle, except for upkeep and maintenance of the modifications, is excluded.

The waiver cannot be used to purchase vehicles for participants, their families or legal guardians; however, this service can be used to fund the portion of a new or used vehicle purchase that relates to the cost of accessibility adaptations. In order to fund these types of adaptations, a clear breakdown of purchase price versus adaptation is required.

These adaptations funded through the Waiver are limited to the following:

- Vehicular lifts.
- Interior alterations to seats, head and leg rests, and belts.
- Customized devices necessary for the participant to be transported safely in the community, including driver control devices.
- Raising the roof or lowering the floor to accommodate wheelchairs.

### **Determining the need for services:**

The following additional questions should be used to establish a determination of need for this service:

- Is the modification specifically designed to address the needs of the participant?
- Does the modification have a primary benefit to the participant and not the public at large, staff, significant others or families?
- Was there a recommendation obtained from an appropriate professional?
- Do the modifications consist only of vehicular lifts, interior alterations to seats, head and leg rests, belts, customized devices necessary for the individual to be transported safely in the community, including driver control devices and/or raising the roof or lowering the floor to accommodate wheelchairs?
- Are these modifications cost effective?

### **Service limits:**

- Participants receiving Vehicle Accessibility Adaptations cannot be authorized for Residential Habilitation services during the same time period.
- This service is limited to \$20,000 per participant during a 10-year period. The 10-year period begins with the first utilization of authorized Vehicle Accessibility Adaptations.

### **SC documentation requirements:**

- The SC will document in the *Physical Development* field, the adaptation, the purpose of the adaptation, the cost of the adaptation and the formal/informal assessment that identifies the participant's need for the adaptation.
- This service can be used to fund the portion of a new or used vehicle purchase that is related to the cost of accessibility adaptations (in order to fund this type of adaptation, a clear breakdown of the purchase price versus the adaptation is required).
- his service cannot be used to purchase vehicles for participants, their families or legal guardians.
- Regularly scheduled upkeep and maintenance of the vehicle, including warranties that cover the entire vehicle, are excluded.

**The procedure code and service unit for Vehicle Accessibility Adaptations Services:**

Provider Type **55** - Vendor

Specialty **543**, Environmental Accessibility Adaptations

Provider Type **54** - Intermediate Services Organization

Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(A provider agency functioning as an OHCDS may submit a claim for the vendor service below or the rendering vendor may submit a claim directly. In addition, individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure code below).

Service Unit: Vendor Goods and Services

Age Limits & Funding:

Consolidated, Community Living & P/FDS Waivers: 0 - 120 years old;

Base Funding: 0 – 120 years old

Allowable Place of Service: 99-Community

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7278*</b>	Vehicle Accessibility Adaptations	Adaptations to vehicles for improved access and/or safety for individuals with intellectual disability. Maximum limit for vehicle adaptations is \$20,000 per individual every 10 years.  Vehicle Accessibility Adaptations

## **Section 15: Policy for Waiver Services Provided by Relatives, Legal Guardians and Legally Responsible Individuals**

### **Personal Care or Similar Services by Legally Responsible Individuals:**

In accordance with CMS requirements, payment generally may not be made to a legally responsible individual for the provision of personal care or similar services that the legally responsible individual would ordinarily perform or be responsible to perform on behalf of a participant. The paragraph below describes the circumstances in which payment may be made for waiver services performed by legally responsible individuals when there are personal care components involved in the service.

The only waiver services legally responsible individuals can provide that have personal care components are In-Home and Community Support and Life Sharing. A legally responsible individual is a person who has legal obligation under the provisions of law to care for another person, including parents of minor children (under the age of 18) and legally-assigned relative caregivers of minor children. These individuals may be paid to provide In-Home and Community Support or Life Sharing services when the following conditions are met:

- The service is considered extraordinary care. A parent is legally responsible to meet the needs of a minor child, including the need for assistance and supervision typically required for children at various stages of growth and development. A parent can, however, receive payment for In-Home and Community Support or Life Sharing when this support goes beyond what would be expected to be performed in the usual course of parenting, and when needed support exceeds what is typically required for a child of the same age;
- The service would otherwise need to be provided by a qualified provider of services funded under the Waiver;
- The legally responsible individual is not the common law employer or managing employer for the participant that they will provide the service to;
- The service is provided by a legally responsible individual who meets the qualification criteria that are established by ODP in Appendix C-3 of the approved Waivers.

The service definitions for In-Home and Community Support and Companion outlines limits for the number of hours that legally responsible individuals, relatives or legal guardians may provide the service.

Legally responsible individuals may also provide the following services that do not have a personal care component:

- Supported Employment; and
- Transportation Mile solely to drive a minor child to and from a waiver service or a job that meets the definition of competitive integrated employment.

Payments to legally responsible individuals who provide In-Home and Community Support services are made through a Financial Management Services (FMS) Organization or a provider agency while Life Sharing payments are made solely through a provider agency. Payments are based upon time sheets submitted by the legally responsible individual to the FMS or agency, which is consistent with the participant's authorized services on their service plan. The ODP designee is responsible to ensure that payments are only made for services that are authorized on the participant's approved service plan. The legally responsible individual who provides

services must document service delivery per Department standards, 55 Pa. Code Chapter 1101 (Medical Assistance Regulations) and ODP policy requirements.

**Relatives or legal guardians may be paid to provide services funded through the Waivers on a service-by-service basis.**

A relative is any of the following by blood, marriage or adoption who have not been assigned as legal guardian for the participant: a spouse, a parent of an adult, a stepparent of an adult child, grandparent, brother, sister, aunt, uncle, niece, nephew, adult child or stepchild of a participant or adult grandchild of a participant. For the purposes of this policy, a legal guardian is a person who has legal standing to make decisions on behalf of a minor or adult (e.g. a guardian who has been appointed by the court). The definition of a legal guardian does not apply to agency providers, but does apply to the person actually rendering service to a participant. Relatives and legal guardians may be paid to provide waiver services when the following conditions are met:

- The individual has expressed a preference to have the relative/legal guardian provide the service(s);
- The service provided is not a function that the relative or legal guardian would normally provide for the individual without charge in the usual relationship among members of a nuclear family.
- The service would otherwise need to be provided by a qualified provider of services funded under the waiver.
- The service is provided by a relative or legal guardian who meets the qualification criteria that are established by ODP in Appendix C-3 of the approved waivers.

Services that relatives or legal guardians can provide are limited to the following: In-Home and Community Support, Companion, Life Sharing, Supported Employment, Shift Nursing and Transportation (Mile). Relatives and legal guardians who are not the participant's primary caregiver may also provide Supports Broker services and Respite services when the conditions listed above are met.

Relatives who are not the individual's primary caregiver may provide Supports Broker services and waiver funded Respite services when the conditions in the bulleted list above are met. The primary caregiver is the person who normally provides care to the individual. Relatives or legal guardians may also provide base-funded respite services only when the relative or legal guardian does not live in the same household as the individual, and when the conditions in the bulleted list above are met.

Legally responsible individuals as defined in appendix C-2-d may also provide the following services that do not have a personal care component:

- Supported Employment; and
- Transportation Mile solely to drive a minor child to and from a waiver service or a job that meets the definition of competitive integrated employment.

Payments to relatives, legal guardians and legally responsible individuals who provide services are made through a Financial Management Services (FMS) Organization, or a provider agency. Payments are based upon time sheets submitted by the relative, legal guardian or legally responsible individual to the FMS or agency, which is consistent with the participant's authorized services on his or her ISP. The relative, legal guardian or legally responsible individual who provides services must document service delivery per Department standards and

ODP policy requirements. Documentation of service delivery is reviewed during the provider monitoring process.

During the ISP team meeting, the team is responsible for discussing whether having services furnished by relatives, legal guardians or legally responsible individuals is in the best interest of the participant. The decision should be consistent with the information contained in the “know and do”, “important to” and “what makes sense” sections of the ISP. The Administrative Entity, when reviewing and authorizing the service plan, is responsible for ensuring that the participant has been offered a choice of providers and that the provider chosen can meet the needs of the participant.

*Guidance Regarding Limits On the Number of Hours of In-Home and Community Support and Companion by Relatives, Legal Guardians*

In-Home and Community Support and Companion services that are authorized on an ISP may be provided by relatives and legal guardians of the individual. When this occurs, any one relative or legal guardian may provide a maximum of 40 hours per week of authorized In-Home and Community Support, Companion or a combination of the two services (when both services are authorized in the ISP). Further, when multiple relatives and/or legal guardians provide the service(s) each individual may receive no more than 60 hours per week of authorized In-Home and Community Support, Companion or a combination of In-Home and Community Support and Companion (when both services are authorized in the ISP) from all relatives and legal guardians.

An exception may be made to the limitation on the number of hours of In-Home and Community Support and Companion provided by relatives and legal guardians at the discretion of the employer when there is an emergency or an unplanned departure of a regularly scheduled worker for up to 90 calendar days in any fiscal year.

All individuals are required to have a back-up plan to address situations when a paid relative or legal guardian does not report to work. ODP recognizes, however, that there may be extenuating circumstances that cannot be addressed through the plan. In general, these situations include, but are not necessarily limited to:

- Unexpected circumstances such as inclement weather, sudden illness, or the unplanned extension of medical leave, that prevent a regularly scheduled worker from arriving at the job site and where another worker/caregiver is not immediately available to work;
- Situations where a regularly scheduled worker is terminated or refuses to provide care without providing adequate notice (e.g. the worker notifies the employer that he or she refuses to work on the day he or she is scheduled to provide the service or is dismissed due to gross non-compliance or misconduct); or
- The sudden loss of a caregiver who provided uncompensated support that kept the provision of services by relatives at or below 40/60 hours per week.

In the event that any of the above situations occur, ODP requires the back-up plan to be reviewed and revised as necessary to prevent recurrence of the above.

When the maximum number of hours per week are worked, either the 40 hours per week or the 60 hours per week, and the relative or legal guardian continues to work, the entire work week in which the limit was exceeded will be counted towards the allowable 90-day exception maximum.

Example:

<b>Days in the Work Week</b>	<b>Sun</b>	<b>Mon</b>	<b>Tues</b>	<b>Wed</b>	<b>Thurs</b>	<b>Fri</b>	<b>Sat</b>	<b>Total Hours Worked in the Week</b>
Hours of In-Home and Community Support worked by one Relative	0	8	8	8	12	12	0	48

In this example the relative exceeds the maximum of 40 hours per week on Friday. All seven calendar days during that week (Sunday through Saturday) are counted toward the 90 day limit.

## Section 16: Waiver Travel Policy Related To Service Definitions

**Travel Policy:** The following services may occur during temporary travel (as defined below):

- In-Home and Community Support.
- Residential Habilitation (licensed and unlicensed).
- Life Sharing (licensed and unlicensed).
- Supported Living
- Shift Nursing.
- Supports Coordination.
- Specialized Supplies
- Supports Broker.
- Behavioral Support.
- Companion.
- Respite

These services may be provided anywhere during temporary travel. The only exception is Respite Camp which can only be provided in Pennsylvania, Washington DC, Virginia or a state contiguous to Pennsylvania.

Temporary travel is defined as a period of time in which the participant goes on vacation or on a trip. The following conditions apply to the travel situation:

- The provision of waiver services during travel is limited to no more than 30 calendar days per fiscal year.
- The travel plans are reviewed and discussed as part of an ISP team meeting, and the team identifies safeguards to protect the participant's health and welfare during travel.
- The roles and responsibilities of the participant and the direct service professionals providing waiver services are the same during travel as at home.
- The Waivers will not fund the travel costs of the participant, the provider or the direct service professionals:
  - The participant is responsible to fund their own travel costs through private or non-system funds.
  - Travel costs for agency staff, contracted personnel or individual providers may be funded through private funds of family members of the participant or non-intellectual disability-system funds generated through fundraising efforts or other means.
  - If the participant decides to pay for the travel costs, there must be documented team consensus that this was the voluntary and willful decision of the participant.
- A participant cannot exceed the authorized units for a service while on temporary travel.
- All service and program requirements, such as provider qualification criteria and documentation of services, apply during the period of travel.
- The location for temporary travel is not limited to Pennsylvania. Temporary travel can occur anywhere as long as the participant's health and welfare can be met during the temporary travel.

AEs shall ensure that this travel policy is explained to all participant at the time of waiver enrollment and reviewed annually at the time of the ISP meeting. The SC shall document this annual review in a service note in HCSIS.

## **Section 17: Base-Funded Services**

Base-Funded Individual: Base funding is utilized as per the Mental Health and Intellectual Disability Act of 1966 (50 P.S. §§ 4101-4704), subject to available funding.

- If the change in need impacts the current services and funding, the SC must create a critical revision.
- The County Program must approve and authorize or deny the revised ISP, including the attached funding, within 14 calendar days.
- If the new service(s) or funding is denied, the individual must be provided with his or her due process rights by the County Program.

**Respite Care, 24 hours (Base-Funded)**

Respite Care services are direct services that are provided to supervise and support individuals on a short-term basis due to the absence or need for relief of those persons normally providing care. Respite services do not cover the care provided to a minor child when the primary caregiver or legally responsible individual is absent due to work. Services are limited to individuals residing in private homes (that is, their own home or the home of a relative or friend). Respite Care services must be required to meet the current needs of the individual, and the needed services and supports must be documented and authorized in ISPs.

Individuals can receive Respite Care 24-hour for a period of more than 16 hours to 24 hours. Base-Funded Respite Care is limited to a **total** of four weeks (28 days) per individual per fiscal year.

The provision of Respite Care services does not prohibit supporting individuals' participation in activities in the community during the period of respite.

Base-Funded Respite may be provided in the following locations:

- Individual's private home or place of residence located in Pennsylvania.
- Licensed or approved foster family home located in Pennsylvania.
- Licensed community (55 Pa. Code Chapter 6400) or family living (55 Pa. Code Chapter 6500) home located in Pennsylvania.
- Unlicensed home of a provider or family that the County Program has approved.
- Medical facilities, such as hospitals, nursing homes, or ICFs/ID when there is a documented medical need and the County Administrator approves the Respite service in a medical facility.
- State-operated ICFs/ID when the individual has documented medical or behavioral needs and is unable to locate a respite provider to render services in a community setting. ODP must provide approval prior to the individual receiving Respite in a State-operated ICF/ID.

**The procedure codes, modifiers, and service units for Overnight Respite Care – (Base-Funded) follow:**

Provider Type **51** - Home & Community Habilitation  
Specialty **513**, Respite Care-Out of Home

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Provider type 51 may submit a claim for all the procedure codes listed in the box below. In addition, for individuals who self-direct their services, claims may be submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.)

Service Unit: Day

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7287*</b>		Basic Staff Support	The provision of the service at a staff-to-individual ratio range of 1:4. Respite-Base Out-of-Home 24 Hours (Basic)-Day
<b>W7288*</b>		Staff Support Level 1	The provision of the service at a staff-to-individual ratio range of <1:4 to >1:1. Respite-Base Out-of-Home 24 Hours (Level 1)-Day
<b>W7290*</b>		Staff Support Level 2	The provision of the service at a staff-to-individual ratio of 1:1. Respite-Base Out-of-Home 24 Hours (Level 2)-Day
<b>W7099*</b>		Staff Support Level 2 Enhanced	The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is degreed. Respite-Base Out-of-Home 24 Hours (Level 2 Enh)
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is a licensed nurse. Respite-Base Out-of-Home 24 Hours (Level 2 Enh)-TD Respite-Base Out-of-Home 24 Hours (Level 2 Enh)-TE
<b>W7100*</b>		Staff Support Level 3	The provision of the service at a staff-to-individual ratio of 2:1. Respite-Base Out-of-Home 24 Hours (Level 3)
<b>W7101*</b>		Staff Support Level 3 Enhanced	The provision of the service at a staff-to-individual ratio of 2:1 where both staff members are degreed. Respite-Base Out-of-Home 24 Hours (Level 3 Enh)
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 2:1 where both staff members are licensed nurses. Respite-Base Out-of-Home 24 Hours (Level 3 Enh)-TD Respite-Base Out-of-Home 24 Hours (Level 3 Enh)-TE
	<b>U2</b>	Respite–Emergency	Emergency Respite rendered in a licensed Waiver-funded 6400 home in which ODP permitted the provision of respite services beyond the approved program capacity of the home. When applicable, the modifier is to be used by Provider Type 51 Specialty 513 only.

### **Support (Medical Environment)**

This service may be used to provide support in general hospital or nursing home settings, when there is a documented need and the County Program Administrator or Director approves the support in a medical facility. The service is intended to supply the additional support that the hospital or nursing home is unable to provide due to the individual's unique behavioral or physical needs. This service is available using base (non-waiver) funds to Waiver individuals and to individuals receiving base-funded services, including both individuals living at home and those residing in provider-operated, owned, leased, or rented settings. Base services are provided through non-waiver funding, and are available to all individuals with intellectual disability in need of services.

### **The procedure codes, modifiers, and service units for Support (Medical Environment) Services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **510**, Home & Community Habilitation

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

(Individuals who self-direct their services may have claims submitted by provider type 54, specialties 540 and 541, for the asterisked procedure codes below.)

Service Unit: 15 minutes  
Age Limits & Funding: Base Funding: 0-120 years old  
Allowable Place of Service: 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7305*</b>		Basic Staff Support	The provision of the service at a staff-to-individual ratio of no less than 1:6. Support (Medical Environment) (Basic)-15 Mins
<b>W7306*</b>		Staff Support Level 1	The provision of the service at a staff-to-individual ratio range of <1:6 to 1:3.5. Support (Medical Environment) (Level 1)-15 Mins
<b>W7307*</b>		Staff Support Level 2	The provision of the service at a staff-to-individual ratio range of <1:3.5 to >1:1. Support (Medical Environment) (Level 2)-15 Mins
<b>W7309*</b>		Staff Support Level 3	The provision of the service at a staff-to-individual ratio range of 1:1. Support (Medical Environment) (Level 3)-15 Mins
<b>W7321*</b>		Staff Support Level 3 Enhanced	The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is degreed. Support (Medical Environment) (Level 3 Enh)

	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is a licensed nurse. Support (Medical Environment) (Level 3 Enh)-TD Support (Medical Environment) (Level 3 Enh)-TE
<b>W7322*</b>		Staff Support Level 4	The provision of the service at a staff-to-individual ratio of 2:1. Support (Medical Environment) (Level 4)-15 Mins
<b>W7323*</b>		Staff Support Level 4 Enhanced	The provision of the service at a staff-to-individual ratio of 2:1 where both staff members are degreed. Support (Medical Environment) (Level 4 Enh)
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 2:1 where both staff member are licensed nurses. Support (Medical Environment) (Level 4 Enh)-TD Support (Medical Environment) (Level 4 Enh)-TE

### **Licensed Residential Services (Base-Funded)**

**Child Residential Services** (the residential section of 55 Pa. Code Chapter 3800, Child Residential and Day Treatment Facilities)

#### **The procedure code and service unit for Residential Habilitation—Child Residential Services (9+ Individuals):**

Provider Type **52** - Community Residential Rehabilitation  
Specialty **520**, C & Y Licensed Group Home

Service Unit: Day

Age Limits & Funding: Base Funding: 0-21 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7098</b>	Child Residential Services	Child residential services that are not eligible for Consolidated Waiver funding due to the size of the home (home serves 9 or more individuals). Child Resid 9+ Indiv Home (3800 Inelig)

### **Community Residential Rehabilitation Services for the Mentally III (CRRS)** (55 Pa. Code Chapter 5310)

CRRS are characterized as transitional residential programs in community settings for people with chronic psychiatric disabilities. This service is full-care CRRS for adults with intellectual disability and mental illness. Full-care CRRS for adults is a program that provides living

accommodations for people who are psychiatrically disabled and display severe community adjustment problems. A full range of personal assistance and psychological rehabilitation is provided for individuals in a structured living environment. Host homes are excluded.

**The procedure code and service unit for Residential Habilitation—Community Residential Rehabilitation Services for the Mentally Ill (9+ Individuals):**

Provider Type **52** - Community Residential Rehabilitation  
Specialty **456** CRR-Adult

Service Unit: Day

Age Limits & Funding: Base Funding: 18-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7203</b>	Community Residential Rehabilitation Services	Community residential rehabilitation services that are not eligible for Consolidated Waiver funding due to the size of the home (home serves 9 or more individuals). Comm Resid Rehab 9+ Indiv Home (5310 Inelig)

**Community Home Services for Individuals with Intellectual disability** (55 Pa. Code Chapter 6400)

A licensed community home is a home licensed under 55 Pa. Code Chapter 6400 where services are provided to people with intellectual disability. A community home is defined in regulations as, “A building or separate dwelling unit in which residential care is provided to one or more individuals with intellectual disability....”

**The procedure code and service unit for Residential Habilitation - Community Homes for Individuals with Intellectual disability (9+ Individuals):**

Provider Type **52** - Community Residential Rehabilitation  
Specialty **521** Adult Residential-6400

Service Unit: Day

Age Limits & Funding: Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7221</b>	Community Home Services	Community residential services that are not eligible for Consolidated Waiver funding due to the size of the home (home serves 9 or more individuals). Comm 9+ Indiv Home (6400 Inelig)

**Life Sharing (Base-Funded)**

Life Sharing services are direct and indirect, provider agency managed services that occur in a private home setting (see service definition, page 107). Services consist of assistance, support and guidance (physical assistance, instruction, prompting, modeling, and reinforcement) in the general areas of self-care, health maintenance, decision making, home management, managing personal resources, communication, mobility and transportation, relationship development and socialization, personal adjustment, participating in community functions and activities and use of community resources.

**The procedure code and service unit for Life Sharing:**

Provider Type **52** – Community Residential Rehabilitation  
Specialties: **522** – Family Living Homes – Ch. 6500; **524** - Unlicensed

Service Unit: Day

Age Limits & Funding:

Consolidated Waivers: 0 - 120 years old;

Base Funding: 0 - 120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W8997</b>	Life Sharing	The provision of this service necessary to enable the participant to meet habilitation outcomes. Life Sharing (Base Only)

**Supported Living (Base-Funded)**

These are direct and indirect services provided to participants who live in a private home that is owned, leased or rented by the participant or provided for the participant's use via a Special or Supplemental Needs trust and located in Pennsylvania. Through the provision of this service participants will be supported to live in their own home in the community and to acquire, maintain or improve skills necessary to live more independently and be more productive and participatory in community life.

**The procedure code and service unit for Supported Living:**

Provider Type **52** – Community Residential Rehabilitation

Specialties: **524** – ID Case Management

Service Unit: Day

Age Limits & Funding:

Consolidated Waivers: 18 - 120 years old;

Base Funding: 18 - 120 years old

Allowable Place of Service: 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W8998</b>	Supported Living	The provision of this service necessary to enable the participant to meet habilitation outcomes. Supported Living (Base Only)

### **Family Aide Services**

Family Aide services are direct services provided in segments of less than 24 hours to supervise or support individuals on a short-term basis due to the absence or need for relief of those persons normally providing care. The family aide may also be responsible for the care and supervision of family members other than the individual with intellectual disability.

This service is limited to a recommended maximum of four sessions per month (one session is equal to a period of time less than 24 hours), but may be adjusted by the County Program based on individual needs.

#### **The procedure codes, modifiers, and service units for Family Aide Services:**

Provider Type **51** - Home & Community Habilitation  
Specialty **519**, FSS/Consumer Payment

Provider Type **51** - Home & Community Habilitation  
Specialty **362**, Attendant Care/Personal Support Service

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit: 15 minutes

Age Limits & Funding: Base Funding: 0-120 years old

Allowable Place of Service: 12-Home; 11 – Office; 99-Other (Community)

<b>Procedure Code</b>	<b>Allowable Modifiers</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7310</b>		Basic Staff Support	The provision of the service at a staff-to-individual ratio of no less than 1:6. Family Aide (Base) - 15 Minutes
<b>W7311</b>		Staff Support Level 1	The provision of the service at a staff-to-individual ratio range of <1:6 to 1:3.5. Family Aide (Level 1) - 15 Minutes
<b>W7312</b>		Staff Support Level 2	The provision of the service at a staff-to-individual ratio range of <1:3.5 to >1:1. Family Aide (Level 2) - 15 Minutes
<b>W7314</b>		Staff Support Level 3	The provision of the service at a staff-to-individual ratio range of 1:1. Family Aide (Level 3)-15 Mins
<b>W7324</b>		Staff Support Level 3 Enhanced	The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is degreed. Family Aide (Level 3 Enh)-15 Mins
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 1:1 with a staff member who is a licensed nurse.

			Family Aide (Level 3 Enh)-15 Mins-TD Family Aide (Level 3 Enh)-15 Mins-TE
<b>W7325</b>		Staff Support Level 4	The provision of the service at a staff-to-individual ratio of 2:1.  Family Aide (Level 4)-15 Mins
<b>W7326</b>		Staff Support Level 4 Enhanced	The provision of the service at a staff-to-individual ratio of 2:1 where both staff members are degreed.  Family Aide (Level 4 Enh)-15 Mins
	<b>TD or TE</b>		The provision of the service at a staff-to-individual ratio of 1:1 where both staff members are licensed nurses.  Family Aide (Level 4 Enh)-15 Mins-TD Family Aide (Level 4 Enh)-15 Mins-TE

### **Special Diet Preparation**

This service provides individuals with assistance in the planning or preparation of meals when needed due to a significant modification to a routine diet.

#### **The procedure code and service unit for Special Diet Preparation Services:**

Provider Type **55** - Vendor  
Specialty **519**, FSS/Consumer Payment

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit: Outcome based  
Age Limits & Funding: Base Funding: 0-120 years old  
Allowable Place of Service: 12-Home; 11- Office; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7315</b>	<b>Special Diet Preparation</b>	This service provides individuals with an intellectual disability with assistance in the planning or preparation of meals when needed due to a significant modification to a routine diet.  Special Diet Preparation

### **Recreation/Leisure Time Activities**

This service is provided to enable individuals to participate in regular community activities that are recreational or leisure in nature. Participation in activities with non-related people, within the community, is encouraged. Entrance and membership fees may be included in the cost of recreation/leisure time activities. This service is available to individuals enrolled in a waiver and to individuals receiving base-funded services, including both individuals living at home and those residing in provider-operated, owned, leased, or rented settings. In addition, this service may be used to provide Overnight Camp and Day Camp services to individuals who receive base-funding who live at home or who reside in provider-operated, owned, leased, or rented settings.

#### **The procedure code and service unit for Recreation/Leisure Time Activity Services:**

Provider Type **55** - Vendor  
Specialty **519**, FSS/Consumer Payment

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit: Outcome based  
Age Limits & Funding: Base Funding: 0-120 years old  
Allowable Place of Service: 12- Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7316</b>	<b>Recreation/ Leisure Time Activities</b>	This service is provided to enable individuals with an intellectual disability to participate in regular community activities that are recreational or leisure in nature.  Recreation/Leisure Time Activities

**Home Rehabilitation**

The Home Rehabilitation service provides for minor renovations to an individual's or family's home where the individual lives to enable the continued care and support of the individual in the home. A renovation is defined for reimbursement purposes as minor if the cost is \$10,000 or less, as per 55 Pa. Code § 4300.65(1). This service is available to individuals enrolled in a waiver and to individuals receiving base-funded services, including both individuals living at home and those residing in provider-operated, owned, leased, or rented settings.

**The procedure code and service unit for Home Rehabilitation Services:**

Provider Type **55** - Vendor  
Specialty: **519** - FSS/Consumer Payment

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit: Outcome based  
Age Limits & Funding: Base Funding: 0-120 years old  
Allowable Place of Service: 12-Home; 11- Office; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7317</b>	<b>Home Rehabilitation</b>	This service provides for minor renovations to an individual's or family's home to enable the continued care and support of the individual with an intellectual disability in the home. Home Rehabilitation

**Family Support Services (FSS)/Individual Payment**

FSS/Individual Payment provides an indirect service to assist individuals in the employment and management of providers of the non-waiver service of their choice.

**The procedure code and service unit for FSS/Individual Payments:**

Provider Type **51** - Home & Community Habilitation  
Specialty **519**, FSS/Consumer Payment

Provider Type **55** - Vendor  
Specialty **519**, FSS/Consumer Payment

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit: Dollar

Age Limits & Funding: Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7320</b>	<b>FSS/Individual Payment</b>	This is an indirect service to allow cash and/or voucher payments to individuals and families for FSS. FSS/Individual Payment-Dollar

**Base Service not Otherwise Specified**

This service is provided through base funds and is designed to meet the unique needs of the individual receiving services and/or their family. Services must be required to meet the current needs of the individual, as documented and authorized in the ISP.

**The procedure code and service unit for Base Service not Otherwise Specified:**

Provider Type **55** - Vendor  
Specialty **519**, FSS/Consumer Payment

Provider Type **54** - Intermediate Services Organization  
Specialties: **541**, ISO-Fiscal/Employer Agent; **540**, ISO-Agency with Choice

Service Unit: Outcome based

Age Limits & Funding:

Base Funding: 0-120 years old

Allowable Place of Service: 11-Office; 12-Home; 99-Other (Community)

<b>Procedure Code</b>	<b>Service Level</b>	<b>Service Description</b> <b>HCSIS Description</b>
<b>W7219</b>	<b>Base Service Not Otherwise Specified</b>	This service is provided through base funds and is designed to meet the unique needs of the individual receiving services and/or their family.  Base Service Not Otherwise Specified

## Section 18: Resources

### Section 18.1: Prioritization of Urgency of Need for Services (PUNS)

PUNS is the process for categorizing an individual's urgency of need for services. PUNS focuses on the existing services and supports received by the individual, the categories of services requested, and the urgency of need for requested services. This information is used by AEs, SCOs, and ODP to prioritize waiting lists. The following are the PUNS categories of need:

- Emergency Need – Indicated a need for services within the next six months.
- Critical Need – Indicates a need for services greater than six months but less than two years in the future.
- Planning Need – Indicates a need for services greater than two years but less than five years in the future.

The PUNS should be reviewed at every ISP meeting and updated as necessary based on changes in the individual's needs. The ISP team determines if the individual will have any anticipated unmet needs in the next five years and also identifies any resources and opportunities available through family members or the community that might help address these unmet needs. Individuals enrolled in the Consolidated Waiver are entitled to have assessed needs addressed through the use of non-waiver services and supports and through the waiver within the allowable service limits identified in the waiver. If an individual has unaddressed needs, the SC must complete or update the PUNS to reflect current needs of the individual as per the current ODP bulletin *Prioritization of Urgency of Need for Services (PUNS) Manual*, or any approved revisions. The PUNS must be completed and/or updated with the individual or family at every annual review update meeting. It is recommended that anyone in the emergency status in PUNS should have a full ISP, not an abbreviated ISP.

#### *SC service note documentation requirements for PUNS:*

- Date of meeting/conversation when form was completed.
- Date mailed to the individual/family.
- If it is recommended that a form not be completed due to no anticipated supports need within five years.
- The request for completion over the phone.
- If individual/family refuses to sign and reason for refusal.

### Section 18.2: Independent Monitoring for Quality (IM4Q)

IM4Q is the method that Pennsylvania has adopted to independently review the quality of life for individuals statewide who receive services from ODP. Focusing on the individual's satisfaction and outcomes, IM4Q is one of the few statewide programs of this kind in the country, pioneering community participation in the quality improvement process. Community participation is promoted by having individuals with disabilities, family, and interested citizens as part of each IM4Q survey team. Such participation also helps to ensure the independence of the IM4Q

survey process since team members are not affiliated with any services that the individual receives.

Independent monitoring differs from other monitoring components within the intellectual disabilities and autism service system in that it is not used to measure compliance with rules or laws. IM4Q also helps to:

- Provide a more comprehensive view of quality by engaging individuals with disabilities, families and citizens as stakeholders in the lives of people in their community.
- Strengthen the advocacy base for individuals with disabilities in the community.
- Reinforce to the community what human services professionals already know about the individual or raise issues that the community would want to know.
- Offer an additional safeguard for the health and well-being of individuals receiving services.

When an individual receiving services participates in an IM4Q interview, the individual may choose whether to share the information supplied with the appropriate AE or SCO. If the individual chooses not to share the information, the survey data is entered into HCSIS for its aggregate value only. If the individual chooses to share the information with the AE, then the IM4Q program forwards any considerations or issues to the AE, which then forwards the report to the SCO. A consideration is a suggestion of something the individual could need or that could improve the quality of life. The consideration may be offered by the individual, a family member, a paid staff, or a survey team member. Actions to address considerations are developed with the individual and his or her ISP team. SCOs and provider agencies are involved to the extent necessary to address service and outcome-related issues and concerns. Considerations are linked to the ISP process when there is a change in services stemming from the IM4Q consideration, or when the individual or family wants the ISP team to be involved in decisions related to a consideration.

 SC service note documentation requirements for IM4Q:

- Considerations are now stored in HCSIS and responded to directly through the HCSIS module. SC activities that are related to the IM4Q considerations should be documented by the SC in a service note in HCSIS. Not all considerations need to be included in the ISP.

## Section 19: ISP Key Terms

**Abbreviated Individual Support Plan (ISP)** – A shortened ISP that may be used for and individual who is not eligible for Medical Assistance and receives non-waiver services that cost less than \$2,000 in a Fiscal Year (FY).

**Administrative Entity (AE)** – A county/jointer or non-governmental entity that performs waiver operational and administrative functions delegated by the Department, under the Department's approved Consolidated, P/FDS and Community Living Waivers and Administrative Entity Operating Agreement.

**Agency with Choice (AWC)** – A type of Financial Management Services (FMS) Provider acting as the Common-Law-Employer which provides an administrative service that supports a Individual or Individual's Surrogate acting as the Managing Employer in the management of the Individual's Support Service Professional (SSP) and supports and services authorized in the Individual's Individual Support Plan (ISP).

**Amount (of service)** – The total volume of funded services (measured in units) that are authorized in the ISP and rendered to the individual.

**Annotated ISP** – An ISP template that contains ODP's expectations of required documentation and recommended best practices for each section of the ISP. The Annotated ISP is located in Learning Management System (LMS).

**Annual Review ISP Meeting** – A team meeting held annually to review and update necessary information in the individual's ISP.

**Annual Review Update Date** – The Annual Review Update Date is the end date of the current plan ISP. The team and the AE must ensure that an Annual Review ISP is completed, approved, and services authorized by the Annual Review Update Date.

**Assessed Needs** – Needs of individuals identified through the Statewide Needs Assessment or other valid assessments and identified as a required need by the individual's ISP team.

**Assessments** – Instruments and documents used by the ISP team to identify an individual's needs for Home and Community Based Services (HCBS).

**Base Funding Services** – A state funded HCBS.

**Bridge Plan** – A term used to describe an individual's initial ISP, which has a timeline shorter than the Fiscal Year to accommodate varying timelines for initial annual review meetings.

**Bureau of Hearings and Appeals (BHA)** – The DHS entity charged with conducting administrative hearings and timely adjudication of appeals.

**Centers for Medicare and Medicaid Services (CMS)** – The agency in the federal Department of Health and Human Services that is responsible for federal administration of the Medicaid, Medicare and State Children's Health Insurance Programs (CHIP).

**Common-Law Employer** – The person under the VF/EA FMS option who is responsible for some employer-related responsibilities.

**Community Living Waiver** – A Federally approved 1915(c) waiver program designed to help individuals with an intellectual disability or autism of any age and individuals with a developmental disability age 0 through 8 to live more independently in their homes and communities.

**Consent to Share ISP** – A field on the ISP in HCSIS that identifies that the individual and his or her family, guardian, surrogate, or advocate provide consent to share the ISP with qualified providers online in HCSIS after it is approved and services are authorized.

**Consolidated Waiver** – A Federally approved 1915(c) waiver program designed to help individuals with an intellectual disability or autism of any age and individuals with a developmental disability age 0 through 8 to live more independently in their homes and communities.

**Direct Service** – The provision of a service where the staff is in the same service location as the individual(s) and ensures the health and safety needs of the individual(s).

**Draft Plan** – An ISP in HCSIS that can be edited or used for adding, deleting or revising information in that ISP.

**Duration (of a service)** – The length of time that a service will be provided.

**Fiscal Year** – The period of time extending from July 1 of one calendar year through June 30 of the next calendar year.

**Financial Management Services (FMS)** – A type of provider (either AWC or VF/EA) that provides administrative support to an individual who self-directs all or some of their services. A FMS provider processes payments for delivered services and performs some financial functions on behalf of the individual. A FMS provider may also process payments on behalf of an individual who is not self-directing but who requires a one-time vendor payment.

**Frequency (of a service)** – How often a service will be rendered to an individual.

**Home and Community Services Information System (HCSIS)** – The secure Internet information system serving the DHS state program offices that oversee Medicaid Waivers.

**Independent Monitoring for Quality (IM4Q)** – A survey and interview process focusing on the quality of services and supports for individuals with intellectual disabilities which provides a source of data to support ODP initiatives.

**Individual Monitoring Tool** – The regularly scheduled and ongoing monitoring of an individual's ISP to ensure that ISPs are implemented as written, including that services are provided as indicated in the ISP.

**Individual Provider** – A person who is not employed by an agency and who directly provides the service. This term includes an individual practitioner, independent contractor or Support

Service Professional through the Vendor Fiscal/Employer Agent model or Agency With Choice model.

**Individual Support Plan (ISP)** – An individual’s summary of planned services (as well as preferences, outcomes, health, safety and medical information), identified as a result of review by the individual, family and plan team members.

**Intermediate Care Facility for persons with an Intellectual Disability (ICF/ID)** – A state-operated or privately operated facility, licensed by DHS, providing a level of care specially designed to meet the needs of individuals who have an intellectual disability, who require specialized health and rehabilitative services.

**Intermediate Care Facility for persons with Other Related Condition (ICF/ORC)** – A state-operated or privately operated facility, licensed by DHS, providing a level of care specially designed to meet the needs of persons with other related conditions who require specialized health and rehabilitative services; that is, active treatment. Persons with other related conditions are persons with severe physical disabilities, such as cerebral palsy, spina bifida, epilepsy or other similar conditions which are diagnosed prior to age 22 and result in at least three substantial limitations to activities of daily living.

**Invitation to ISP** – The letter sent by the SC which invites members of the individual’s plan team to the plan meeting.

**ISP Signature Form (DP 1032)** – Required form used to document attendance and review of required waiver compliance elements at the time of the annual review meeting and during team meetings that result in critical revisions to ISPs.

**Legal Guardian** – A person not affiliated with a provider agency who has legal standing to make decisions on behalf of a minor or adult (for example, a guardian who has been appointed by the court).

**Legally Responsible Individual** – A person who has a legal obligation under the provisions of the law to care for another person, including parents of minors and legally-assigned relative caregivers of minor children.

**LMS – Learning Management System** – Contains a variety of information about HCSIS including instructional web-based courses and job aids.

**Outcome Actions** – The team’s plan to achieve what the individual considers important to him or her, including natural supports and paid services.

**Outcome Statements** – Levels of achievement and personal preferences the individual chooses to acquire maintain or improve.

**Participant-Directed Services (PDS)** – The list of identified services in the service definitions and approved waivers that are available to self-direct.

**Pending Revision** – The screen used to review ISPs that have been disapproved and require revision. An ISP will appear on this screen only if it has been disapproved, which means the ISP has the status of pending revision. The screen contains a hyperlink to comments entered by the

ISP Approval role and explains why the ISP was not approved. The SC reviews the comments and converts the ISP back to a draft status so the appropriate changes can be made to the plan. A plan will not appear on this screen if it is in draft status, approved status, or pending approval status.

**Person/Family Directed Support (P/FDS) Waiver** – A Federally approved 1915(c) waiver program designed to help individuals with an intellectual disability or autism of any age or an individual with a developmental disability age 0 through age 8 to live more independently in their homes and communities.

**P/FDS Cap** – The per individual limitation for waiver services funded through P/FDS Waiver during a state FY, excluding costs for supports coordination and supports broker services and other administrative costs of administrative services. The limit can be exceeded by \$15,000 for Advanced Supported Employment or Supported Employment services that are authorized on a participant's service plan.

**Pennsylvania Guide to Participant Directed Services** – A guide developed to help people understand what PDS means and what PDS services they can self-direct. It is located on the myODP website.

**Prioritization of Urgency of Needs for Services (PUNS)** –The current process for categorizing an individual's need for services. PUNS focuses on the existing services and supports received by the individual, the prioritization of urgency of need for requested services and the categories of services needed. This information is used by AEs, County Programs and ODP to prioritize waiting lists and for budgeting. The following are the PUNS categories of need:

- Emergency Need – Indicates a need for services within the next six months.
- Critical Need – Indicates a need for services greater than six months but less than two years in the future.
- Planning Need – Indicates a need for services greater than two years but less than five years in the future.

**Private Home** – When not otherwise defined within the specific service definition, a home that is owned or leased by the individual, his or her family, or another person with whom the individual lives. Homes owned, rented, leased or operated by a provider are not private homes. Homes owned, rented, leased or operated by a provider and subsequently leased to an individual or his or her family are also not private homes.

**Qualified Provider** – A provider who meets applicable qualification criteria and agrees to provide services to an individual as stated in his or her ISP. Waiver providers must meet qualification criteria included in the approved Consolidated, Community Living and P/FDS Waivers.

**Self-Directed Services** – This means the individual or his or her surrogate (representative) manages and directs the supports and services in the individual's ISP. In order to self-direct, they must become either a Common Law Employer or Managing Employer, use one of the FMS options, and must live in their own private residence or the residence of family.

**Services and Supports Directory (SSD)** – An online database of all the qualified service providers registered in HCSIS that is accessible to individuals and families during the

registration process to locate qualified providers within a geographic area. The directory is intended to expand individuals' ability to make informed choices. This is the section of HCSIS where SC's choose qualified service providers and attach them to the ISP.

**Supports Coordinator (SC)** – A SCO employee whose primary functions are to locate, coordinate and monitor services provided to an individual.

**Supports Coordination Organization (SCO)** – A provider qualified to deliver the services of locating, coordinating and monitoring services provided to an individual.

## Section 20: General Billing Terms

**15 Minute Unit of Service:** The 15-minute unit of service will be comprised of 15 minutes of continuous or non-continuous service. The full 15 minutes of service does not need to be provided consecutively, but must be rendered during the same dates of service indicated on the claim for the same participant, same 13-digit MPI and same service.

Example: The claim covers 7/1/19 through 7/7/19. Services were rendered on 7/1/19 from 1:00pm to 2:04pm (4 full 15-minute units of service with 4 additional minutes), on 7/2/19 from 1:00pm to 1:56pm (3 units of service with 11 additional minutes), and on 7/3/19 from 1:00pm to 2:00pm (4 units of service). In this example, 12 units could be billed because the 4 minutes on 7/1 could be added to the 11 minutes on 7/2 to comprise a full 15 minute unit of service.

**Day Unit of Service:** The day service unit is defined in each actual service definition to which it relates. A provider must meet the requirements of the definition contained in the narrative in order to submit a claim for the rendered unit of service.

**Eligible and Ineligible Procedure Codes:** There are two types of procedure codes that are used for Residential Habilitation services: eligible and ineligible. Eligible procedure codes are used to claim the portion of the cost for the service that is eligible for federal financial participation (for example, staffing). Ineligible procedure codes are used to claim the portion of the costs for the service that are not eligible for federal financial participation such as room and board for a participant or base funding for a non-waiver individual.

For waiver-funded Residential Habilitation a SC will use both the eligible and ineligible procedure codes, when applicable, when developing the ISP.

For base-funded Residential Habilitation services for eight or fewer individuals, the SC will only use the ineligible procedure code with an individualized rate when developing the ISP. For base-funded Residential Habilitation service for nine or more individuals, the SC will use only the nine or more procedure code when developing the ISP.

**Enhanced Levels of Service:** Many home and community-based services have enhanced levels of staffing ratios for 1:1 and 2:1 staffing where the direct service professional must have a certificate, license or a degree as specified in the provider qualification requirements for each service to render the service.

**Hour Unit of Service:** The hour unit of service will be comprised of 60 minutes of continuous or non-continuous service. The full 60 minutes of service does not need to be provided consecutively, but must be rendered during the same dates of service indicated on the claim for the same participant, same 13-digit MPI and same service.

**Organized Health Care Delivery System (OHCDs):** An arrangement in which a provider that renders at least one direct MA waiver service also chooses to offer a different vendor HCBS by subcontracting with a vendor to facilitate the delivery of vendor goods or services to an individual.

**Outcome-Based Unit:** A service unit that is additional, delayed payment made to providers upon the delivery of the service. Advanced Support Employment is an outcome-based service. Payment is made upon providers achieving milestones as described in the service definition.

**Per Mile Unit of Service:** Each unit of service equals one mile.

**Per Trip Unit:** A trip is either transportation to a service from an individual's home or from the service location to the individual's home. The Transportation Trip provider agency decides the geographical area that equals the per trip service unit.

**Provider Types, Specialties, and Place of Service:** Each service definition includes a list of provider types and specialties that are permitted to render the service or submit a claim for the service. Each service definition includes the allowable places of service where a willing and qualified provider may choose to render the service.

**Units of Service:** Each procedure code has been assigned a service unit that is used for rate development and billing. Each service unit equals the amount of time that a provider must render the service in order to submit a claim to be paid for the service.

**Use of Modifiers:** Some services have unique circumstances that require modifiers to be used that identify individual services and account for differences in service delivery regulations or methods specific to different service settings. The modifiers may be used to inform the PROMISe™ system of critical information needed for claims processing.

A description of each allowable modifier is listed after the tables contained in the service definitions and listed in the Service Details page of the ISP in HCSIS. When a provider submits a claim for these services, the procedure code and modifier combination in PROMISe™ must match exactly with the procedure code and modifier combination in HCSIS.

**Vendor Goods and Services-Based Unit:** A service unit tied to the actual cost of a purchased good. These services are reimbursed based on the cost charged to the general public, and must be the most cost-effective to meet the individuals' needs.