

Indiana Family and Social Services Administration

HCBS Statewide Transition Plan



Division of Aging | Division of Disability and Rehabilitative Services | Division of Mental Health and Addiction | Office of Medicaid Policy and Planning

IN FSSA Home and Community-Based Settings Statewide Transition Plan Newsletter

MAY 2017

Newsletter, Issue 6

The Indiana Family and Social Services Administration (FSSA) produces a Home and Community-Based Services (HCBS) newsletter on a quarterly basis. The newsletter's purpose is two-fold:

1. To provide a modest amount of background and some additional resources about the purpose of the HCBS Statewide Transition Plan (STP).
2. To provide updates on the development of the HCBS Statewide Transition Plan rollout and the individual milestones reached by the Division of Aging (DA), the Division of Mental Health and Addiction (DMHA) and Division of Disability and Rehabilitative Services (DDRS).

Please distribute this newsletter to your agencies, organizations and networks.

Overview of the HCBS STP key elements



UPDATE: Statewide Transition Plan Receives Initial Approval

In March of 2014, the Centers for Medicare & Medicaid Services (CMS) established the HCBS Settings Final Rule, which set forth new requirements for several Medicaid authorities under which states may provide home and community-based long-term services and supports. The purpose of these regulations is to ensure that members receive Medicaid HCBS in settings that are integrated in and support full access to the greater community. This includes opportunities to seek employment and work in competitive and integrated settings, engage in community life, control personal resources and receive services in the community to the same degree as individuals who do not receive HCBS. CMS expects all states to review current HCBS programs and to develop a transition plan providing an assessment, strategies and timelines for compliance with the HCBS Settings Final Rule. The FSSA has created a Statewide Transition Plan (STP) to assess compliance with the HCBS Settings Final Rule and identify strategies and timelines for coming into compliance with the new rule as it relates to all FSSA HCBS programs. Indiana's initial STP was submitted to CMS for review and approval in December 2014. In October 2015, CMS responded to Indiana's STP with a request for supplemental information, noting the STP was not approved by CMS at that time. Through guidance from CMS, Indiana submitted a second version of the STP to CMS in April 2016 that incorporated Indiana's systemic assessment of rules, codes, policies and licensure requirements. In September 2016, FSSA submitted a third version of the STP incorporating site-specific assessment results for Indiana's HCBS programs. Per CMS guidance, Indiana submitted a fourth version of the STP with technical corrections in October 2016. CMS responded in November 2016 requesting additional revisions. A fifth version with technical corrections was submitted to CMS which received initial approval on November 8, 2016. The technical corrections versions did not require public comment, but are available online at [by clicking here](#). Additionally, CMS requested further revisions to the site-specific assessments within Indiana's STP in order to receive final approval. On March 30, 2017, Indiana submitted version six of the STP to CMS for final approval. In May 2017, CMS extended the implementation date of the HCBS Settings Final Rule to March 17, 2022 to allow states additional time to come into full compliance.

FSSA Division Updates

Division of Aging (DA)



The Division of Aging has resumed certification of assisted living providers as long as they are not presumed institutional, i.e. under the same roof as a nursing facility or a secure memory care unit. New assisted living providers are required to be fully compliant with the Settings Rule at certification including obtaining a waiver from Indiana State Department of Health (ISDH) from certain provisions of the residential care facility licensure requirements. Certifications will resume for adult day service providers in June.

DA has received remediation plans from most assisted living providers. Plans from adult day service providers are due in June. DA staff will be reviewing these plans over the coming weeks. Providers and the DA will work together on any revisions to make sure that plans are achievable and have reasonable time frames.

As providers were working on their remediation plans, DA staff participated in dozens of technical assistance calls providing one-on-one support to providers. These calls were very valuable, as providers were able to hear directly from the division to address any confusion on expectations. Additionally, DA staff was able to hear from some providers that are really making most of the changes required by the Settings Rule. It is very encouraging to hear from providers who are embracing opportunities to become more person centered and advocates for individual choice and autonomy.

Division of Mental Health and Addiction (DMHA)



DMHA-Adult's Ongoing Outreach and Training for HCBS Providers

The DMHA Adult 1915(i) State Evaluation Team (SET) continues to assist providers of home and community-based services with implementation of the HCBS Statewide Transition Plan. In May, DMHA presented an HCBS webinar that addressed updates for State fiscal year (SFY) 2018. In this webinar, the SET discussed the revised Residential Setting Screening Tool (RSST-R) which must be used with every application, or when a member moves to a new setting. The SET also discussed the new non-provider owned, controlled or operated (Non-POCO) Residential Assessment Tools which are to be completed by providers and submitted to DMHA via the HCBS email, DMHAadultHCBS@fssa.in.gov. The webinar slides, the RSST-R and the Non-POCO Assessment Tools can be found at multiple FSSA websites, including the following:

- [Adult Mental Health Habilitation](#)
- [Behavioral and Primary Healthcare Coordination](#)
- [FSSA Home and Community-Based Services Final Rule Statewide Transition Plan](#)

POCO Residential Settings

DMHA has completed the on-site specific assessments for POCO residential settings. DMHA has identified a total of 194 POCO residential settings. DMHA is still reviewing Setting Action Plans. As of May 2017, DMHA has 11 providers with completed, fully compliant Setting Action Plans for their POCO residential settings. DMHA expects that all Setting Action Plans will be complete by October 2017.

NON-POCO Residential Settings

During SFY 2018, DMHA will focus on the assessment of Non-POCO residential settings. DMHA has identified 29 Non-POCO residential settings. Providers must use the Non-POCO Residential Assessment Tools to assess these settings and submit those tools to DMHA so that the division may make a compliance determination. DMHA is partnering with other FSSA agencies for settings that potentially have multiple agencies overseeing the setting.

On-going Monitoring

During SFY 2018, DMHA will begin on-going monitoring of POCO residential settings that have been deemed fully compliant. This on-going monitoring will consist of site visits, most of which will occur in conjunction with regularly scheduled Adult 1915(i) Quality Assurance visits.

Please continue to contact the DMHA Adult 1915(i) State Evaluation Team at dmhaadulthcbs@fssa.in.gov for all matters related to compliance with the CMS HCBS Settings Final Rule requirements.

Division of Disability and Rehabilitative Services (DDRS)

Site-Specific Assessments

DDRS continues with the assessment phase as outlined in the Statewide Transition Plan. All Non-Residential Day Service sites completed an online self-assessment in October. The self-assessment was designed to identify areas where a day service site is HCBS compliant as well as to identify any gaps that would require modifications to become complaint. Waiver participants were not required to participate in the non-residential self-assessment.

In preparation for the assessment, DDRS hosted a webinar presented to all day service providers the second week of August, titled, *Non-Residential Self-Assessment HCBS Statewide Transition Plan*. The recorded webinar can be located at [FSSA Webinars](#) and there is also a Q&A, F.A.Q and resource document posted on the [Home and Community Based Services Final Rule Statewide Transition Plan](#) to supplement the webinar. A tutorial describing how to complete the non-residential self-assessment as well as a PDF version of the assessment have also been posted. In addition, two technical assistance webinars were conducted in September to assist providers in completion of the survey.



Since completion of the assessment, the results have been analyzed and the next step will be validating the responses. For some providers, this will consist of a documentation request. Once documentation has been reviewed, compliance feedback will be shared with providers. Site information is currently being verified, and in some cases on-site visits are being scheduled to confirm the self-assessment responses.

DDRS will work with provider agencies to develop provider specific plans to ensure all sites become HCBS compliant by June 2018. This timeframe is to provide necessary time and planning for providers to demonstrate compliance and ensure minimal interruption in service delivery to individuals being supported by an HCBS waiver service.

DDRS has also hosted Family Listening sessions throughout the state. These sessions allowed families an open forum to share their desired service needs for both the Community Integration and Habilitation and Family Supports waivers for input into any new HCBS services.