

## INSTRUCTIONS FOR COMPLETING THE WORK PLAN

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Six months after submitting their applications for the Balancing Incentive Program, States are required to submit a Work Plan, consisting of:

1. A completed **Work Plan Table Template**, found below. The Work Plan Table Template includes a series of interim tasks necessary for achieving the structural change requirements, deliverables that demonstrate the completion of each interim task, and due dates for deliverable submission.
2. Several **initial deliverables**, highlighted in grey in the Work Plan Table Template.
3. **Companion text for each interim task**. Specifically, the State should describe the current state of the task, experienced or anticipated challenges to completing this task, and the State's plans to address these challenges. Space to provide this companion text can be found along with detailed deliverable descriptions after the Work Plan Table Template.

## DESCRIPTIONS OF DELIVERABLES AND COMPANION TEXT

In addition to completing the Work Plan Table Template, the State must provide companion text for each task. In prose, bullets, or numbered lists, this companion text should make clear what the State's plans are for completing each task and corresponding deliverable. Specifically, the State should describe the current state of the task, experienced or anticipated challenges to completing this task, and the State's plans to address these challenges. This information will also be used to populate the first in a series of online Programmatic Progress Reports, which will save the State time as it prepares its quarterly reports (see Chapter 7 of the Manual). The level of detail in the companion text may depend on the task and its due date. Specifically, at the time of Work Plan development, a State may have less information regarding tasks it expects to submit further in the future than for those due nearer in time. States will have the opportunity to update the companion text with more detail through their quarterly Progress Reports and as they make progress on the structural changes. The State need not remark on tasks that are already completed.

### **1. All individuals receive standardized information and experience the same eligibility determination and enrollment processes.**

#### *1.1. Develop standardized informational materials that NWD/SEPs provide to individuals:*

Informational materials can include pamphlets, summaries of programs and related eligibility criteria, and case worker scripts. States may already have developed these materials and distributed them to individuals seeking community LTSS.

Describe the current status of this task:

Not yet started

Anticipated completion date: 4/1/15.

Describe experienced or anticipated challenges to completing this task:

Developing standardized materials, as each program office has their own informational materials related to services provided to individuals.

Ensuring that all NWD/SEPs receive any and all updates in a timely manner in order to maintain accuracy and continuity in the flow of information.

Ensuring that all individuals accessing services through one of the delivery systems (website, phone, or in person) are aware of all LTSS and can make an

informed choice that best meets their needs.

Describe the State's plan to address the challenges described above:

Pennsylvania will create a Balancing Incentive Program (BIP) website that will be utilized by each No Wrong Door/Single Entry Point (NWD/SEP) entity to provide consistent, comprehensive information regarding community LTSS. In addition, the PA Department of Aging is currently in the final stages of testing their Web Resource Center website. This website will be utilized in coordination with the BIP website, and will be a useful resource for learning about providers and programs across the state.

A summary of all available LTSS will be highlighted on the BIP website. Links to all appropriate program offices will be accessible on the website, along with an Electronic Resource Binder, which will provide summaries and related eligibility criteria for all LTSS Programs. When accessing the BIP Website, all individuals will also have the opportunity to complete the Level I Assessment (Information and Referral Tool), which will help to guide them to the appropriate services based on their particular needs.

Pennsylvania will also be leveraging the current Long Term Supports Hotline Number (PA Link) in order to meet the needs for a 1-800 number. The individuals answering this hotline will be provided with standardized informational materials to ensure that all individuals receive the same information.

Any informational materials currently being utilized will be reviewed for accuracy, and updated as necessary. A process will be put in place to ensure that all NWD/SEP entities receive any changes or updates to information in a timely fashion.

Standardized information will be available to all NWD/SEP entities, as well as, stakeholders and providers of services to ensure accessibility by all individuals seeking community based LTSS.

- 1.2. *Train all participating agencies/staff on eligibility determination and enrollment processes:* All staff should be trained on these processes by the time the NWD/SEP system is implemented for testing (18 months after date of Work Plan submission). This timing corresponds to an automated NWD/SEP system; the implementation of a paper-based system should require less time. As a related deliverable, States should submit the training documents used by NWD/SEP

staff to follow the NWD/SEP processes, in addition to the training agenda. To be effective, documents should include flow diagrams and clear guidelines for each type of NWD/SEP staff member.

<p>Describe the current status of this task:</p> <p>Not yet started</p> <p>Each program trained their staff on the current eligibility and enrollment process prior to BIP implementation.</p> <p>Anticipated completion date: 6/1/15</p>
<p>Describe experienced or anticipated challenges to completing this task:</p> <p>Determine the implementation time line of the changes that will be put in place in relation to the updated eligibility determination and enrollment process.</p> <p>Ensure all appropriate staff receives the same training in a timely manner.</p>
<p>Describe the State's plan to address the challenges described above:</p> <p>Coordinate with the leadership of each program office to minimize confusion and promote understand at the state level.</p> <p>Identify staff within each agency to be trained.</p> <p>Create subgroup based on BIP Team Members to discuss the following items: content of the training; how the training will be administered; and ways to ensure that a consistent message is shared with all individuals receiving the training.</p>

**2. A single eligibility coordinator, "case management system," or otherwise coordinated process guides the individual through the entire functional and financial eligibility determination process.**

*2.1. Design system (initial overview):* The State should submit with the Work Plan a general description of the NWD/SEP system, including the major actors (i.e., Operating Agency, NWD/SEPs), overview of processes (e.g., flow diagram), and the level of automation expected within the system. For example, States should indicate whether they plan on using an online Level I screen and/or an automated Level II assessment that feeds into a central database, accessible to all NWD/SEPs.

Describe the current status of this task:

The State of Pennsylvania Department of Human Services (DHS) is working in partnership with the Pennsylvania Department of Aging (PDA) to create a No Wrong Door/Single Entry Point (NWD/SEP) system that focuses on community based long term services and supports (LTSS).

The Medicaid Agency (DHS) will draw on other agencies to make sure there is a broad and inclusive no wrong door, single entry point system that is both geographically broad, serving the entire state, and community based, using partners that already exist in the community, such as those connected to the PA Link. The map containing the various regions and service areas of the PA Link is attached. The combination of statewide partners will ensure that 100% of individuals have local and easy access to physical locations where they can receive initial and comprehensive eligibility assessments and determinations for Medicaid funded LTSS.

Initial entry into to the NWD/SEP system could be in person via one of the PA Link (ADRC) partners or another NWD/SEP entity; the COMPASS website; or a toll free number. Each NWD/SEP will have the ability to access to the COMPASS website, which will provide them with a means to help individuals apply for home and community based services, physical and behavioral health services and supportive services, such as LIHEAP and SNAP. The NWD/SEP entities will also be able to utilize the Level I Assessment (Information and Referral Tool).

The Website for long term services and supports will contain a link to the Level I Assessment (Information and Referral Tool). This will allow each individual looking for service the opportunity to complete the Information & Referral Tool, which is designed to provide guidance regarding which waiver might be most appropriate for that person based on their needs. The State of Pennsylvania is currently considering several options related to how referrals will be made between the Level I screen (Information and Referral Tool) and the entity responsible for the eligibility and enrollment for community based services.

One option under consideration is having the individual complete the Information and Referral Tool online. Once the tool has been completed, the individual would receive a list of potential places/agencies to contact in order to initiate services. With the second option, the individual would complete the Information and Referral Tool, and once completed, the results of the tool would be transmitted to the entity that is responsible for eligibility and enrollment. The third option under consideration would allow the person completing the information and referral tool to transition to the COMPASS online eligibility system.

Within the Office of Long Term Living, for individuals who are 60 and over, the local AAAs conduct functional eligibility assessments for participants in the Aging waiver and coordinate with local County Assistance Offices (CAO) that process Medicaid applications for financial eligibility determinations. For those between the ages of 18-59, the primary entry point is through an Independent Enrollment Broker (IEB). IEB employees are able to conduct home visits to initiate and assist with the application process and will forward this information on to the CAO for a final determination of eligibility. Functional assessments for all but the AIDS waiver are conducted by the local AAA and financial assessments are conducted by the DHS's local CAO.

Individuals who are interested in applying for the Consolidated, or the Person and Family Directed Supports waiver, typically begin the process at their county Mental Health/Intellectual Disability (MH/ID) office. These "administrative entities" determine an applicant's functional eligibility, which is based on certification of an intellectual disability diagnosis by a psychologist, psychiatrist, or other physician, and assessment of adaptive functioning by a "Qualified Intellectual Disability Professional." The county MH/ID agency will work with their local CAO on the financial eligibility determination.

Individuals interested in applying for the Adult Autism waiver or the Adult Community Autism Program (ACAP) may call a toll-free phone number to speak with staff in DHS's Bureau of Autism Services (BAS). Functional assessments are conducted by staff from the BAS. In addition, a medical

professional must certify that the individual meets the intermediate care facility (ICF) level of care and has an autism spectrum diagnosis. Financial eligibility is determined by DHS's local CAO.

Individuals who seek access to mental health or substance abuse services can enter the system through one of many entry points—local providers, MH/ID county offices, or one of the MCOs. There is no standardized assessment instrument in use to determine eligibility for mental health or substance abuse treatment. However, per CMS Medicaid requirements, all MA eligible recipients are eligible for mental health services as part of their regular benefit package and treatment need is based on diagnosis, history, and medical necessity for a particular level of care.

In addition to the BIP Website, the PA Department of Aging is currently in the final stages of testing their Web Resource Center website. This website will be utilized in coordination with the BIP website, and will be a useful resource for learning about providers and programs across the state.

A consumer can also utilize the PA Link Call Center, where the staff can provide the individual information on the steps that are needed in order to apply for services. Individuals, or their designees, also have the opportunity to go directly to the COMPASS website and begin the process of applying for services directly from their own home.

In addition to the County Assistance Offices (CAOs), individuals will also be able to utilize COMPASS as way to determine their financial eligibility. Once financial eligibility is determined, the information will be shared with the entity working on the functional eligibility and/or enrollment portion. After an individual has been determined functionally and financially eligible, the individual will receive assistance with choosing a service coordinator to develop care plans and conduct ongoing case management.

Describe experienced or anticipated challenges to completing this task:
Unknown at this time
Describe the State's plan to address the challenges described above:
Challenges will be addressed as they are identified and reported on the quarterly reports.

2.2. *Design system (final detailed design)*: This second task involves a much more detailed design structure of the NWD/SEP system. If the State plans to contract a vendor to build an automated system, the deliverable associated with this task could be a Request for Proposals (RFP) disseminated to potential vendors. The RFP should include the data flow, highlighting which entity(ies) will house the data, data transfer mechanisms, levels of user access, and data security measures. If the NWD/SEP system is paper-based, the description should include how information will be transferred to different participating entities in a timely manner (e.g. phone, fax) and how non-electronic data will be stored and retrieved securely.

Describe the current status of this task:
In Process.
PA Department of Human Services currently has an existing contractor in place in order to complete the system design changes necessary to meet the BIP requirements. Department staff will work on the business process in order to ensure the IT system will be compatible with how waiver applications will be processed.
Anticipated Completion Date: 3/1/15
Describe experienced or anticipated challenges to completing this task:
The coordination between the automated Level I Assessment (Information and Referral Tool) and the paper based Level II (functional assessment).
Coordinating simultaneous financial and functional eligibility determination activities.
Describe the State's plan to address the challenges described above:
The state of Pennsylvania is looking to do the following in order to complete this



task:

Allow individuals the opportunity to apply to any waiver program on the current Medicaid application website (COMPASS).

Include a link to the COMPASS and PA Link website on the BIP website.

Add the automated Level I Assessment to the COMPASS and BIP Websites.

Meetings have been scheduled with representatives from each office in order to discuss the specific business requirements needed for: 1) Implementation of the Level I Assessment (Information and Referral Tool) 2) Amending the Compass system to include the applications of all LTSS Waivers.

- 2.3. *Select vendor (if automated):* Once a vendor is selected to build or enhance the NWD/SEP system, the State should submit a memo indicating the vendor name and qualifications (i.e., reason for selection).

Describe the current status of this task:

The state of Pennsylvania will not be hiring an outside vendor to build or enhance the NWD/SEP system.

Describe experienced or anticipated challenges to completing this task:

N/A

Describe the State's plan to address the challenges described above:

N/A

- 2.4. *Implement and test system:* We expect many States will gradually roll out the NWD/SEP system, incorporating NWD/SEPs one at a time or in groups. This will allow States to test processes, identify lessons learned, and make improvements. This task requires a description of the roll-out plan, including which entities will implement the system when, and protocols for evaluating processes and incorporating lessons learned.

Describe the current status of this task:

Not yet started.

The Pennsylvania Department of Human Services has a standard process for testing the modifications made to COMPASS when adding new human services programs. This process will be utilized when the home and community based waiver programs are added to the COMPASS website. This testing will be both from an external view point in terms of ensuring that individuals can submit information to begin the application process and that the information submitted gets transmitted to the appropriate parties.

There is also a training that occurs for community partners on how to use the COMPASS website. Community partners are individuals and organizations that assist individuals with completing a Medicaid application online.

Anticipated Completion Date: 7/1/15

Describe experienced or anticipated challenges to completing this task:

Minimal challenges are expected, as DHS has experience in adding new human services programs to COMPASS. One ongoing challenge will be to work with the Community Partners and the PA Link to ensure that they can access the necessary training to assist individuals in how to utilize the COMPASS system.

Describe the State's plan to address the challenges described above:

Working with the PA Link, DHS will ensure that all PA Link Partners have access to this training so that they understand how they can use COMPASS for the application of services.

- 2.5. *System goes live:* Once the system is live or fully operational, States should submit a memo to CMS indicating that it is fully operational and describe any major system changes implemented since the detailed design.

Describe the current status of this task:

Not yet started.

Anticipated Completion Date: 9/1/15

Describe experienced or anticipated challenges to completing this task:
Unknown at this time.
Challenges will be addressed as they are identified and reported on the quarterly reports.
Describe the State's plan to address the challenges described above:
The State of Pennsylvania will submit a memo to CMS indicating the system is fully operational and describe any major system changes from the original design.

- 2.6. *System updates:* After the system goes live, States should submit a brief semiannual report describing the successes and challenges associated with the system.

Describe the current status of this task:
The State of Pennsylvania will submit a semiannual report describing the successes and challenges associated with the system.
Describe experienced or anticipated challenges to completing this task:
Unknown at this time.
Describe the State's plan to address the challenges described above:
Challenges will be addressed as they are identified and reported on the quarterly reports.

**3. State has a network of NWD/SEPs and an Operating Agency; the Medicaid Agency is the Oversight Agency.**

- 3.1. *Identify the Operating Agency:* The name of this agency should be included in the initial description of the NWD/SEP system.

Describe the current status of this task:
Completed and submitted with the application and draft work plan on 4/1/14. The Pennsylvania Department of Human Services is the Name of the Operating

Agency.
Maps of all NWD/SEP entities will be included on the BIP Website.
Describe experienced or anticipated challenges to completing this task:  Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

- 3.2. *Identify the NWD/SEPs:* The names of the entities and their locations should be included in the initial description of the NWD/SEP system.

Describe the current status of this task:  Completed and submitted with the application and draft work plan on 4/1/14. (Please see Attachment B in the initial application-Maps of No Wrong Door Entry Points (County Assistance Offices, Area Agencies on Aging, and County Mental Health/Intellectual Disability Offices in the application and draft work plan)).
Describe experienced or anticipated challenges to completing this task:  Any changes in relation to the NWD/SEP entities (ie. Phone numbers, locations, etc) need to be communicated in a timely fashion.
Describe the State's plan to address the challenges described above:  A process will be put in place to ensure that all NWD/SEP entities receive any changes or updates to information in a timely fashion.  Any other challenges will be addressed as they are identified and reported on the quarterly reports.

- 3.3. *Develop and implement a Memorandum of Understanding (MOU) across agencies, including the State Medicaid Agency and the Operating Agency:* Given that many agencies will be involved in the NWD/SEP system, it is essential that each agency has a clear role and is on board with completing its responsibilities.

MOUs are a key resource in helping define tasks and develop or solidify support. An example MOU is located in Appendix F in the Manual.

Describe the current status of this task:

Not yet completed.

An Inter-Departmental Agreement will be created between the Pennsylvania Department of Human Services and the Pennsylvania Department of Aging. The Pennsylvania Department of Human Services and the Pennsylvania Department of Aging jointly submitted the initial BIP Application and are both in agreement with the steps being taken in order to meet the BIP requirements.

Anticipated Completion Date: 1/1/15

Describe experienced or anticipated challenges to completing this task:

None

Describe the State's plan to address the challenges described above:

N/A

**4. NWD/SEPs have access points where individuals can inquire about community LTSS and receive comprehensive information, eligibility determinations, community LTSS program options counseling, and enrollment assistance.**

- 4.1. Identify service shed coverage of all NWD/SEPs:* As previously noted, a NWD/SEP's service shed covers all residents within a certain distance. Ideally, the combined service sheds of all NWD/SEPs should cover the State's entire population. Because this is not always feasible, States should submit the percentage of the State's population actually covered by the NWD/SEP and a description of why 100 percent coverage is not feasible.

Describe the current status of this task:

Completed and submitted with the application and draft work plan on 4/1/14. The network of NWD entry points will cover all 67 counties in Pennsylvania, thus 100 percent of the commonwealth's population will live within the catchment area of at least one of the 52 AAAs, State IEB, 16 CILs, 93 CAOs, or 48 MH/ID Offices.

Describe experienced or anticipated challenges to completing this task:
Unknown at this time.
Describe the State's plan to address the challenges described above:
Challenges will be addressed as they are identified and reported on the quarterly reports.

*4.2. Ensure NWD/SEPs are accessible to older adults and individuals with disabilities:*

States should indicate the features of the NWD/SEPs that promote accessibility, including wheelchair ramps, proximity to public transportation, bilingual staff, etc.

Describe the current status of this task:
Completed and submitted with the application and draft work plan on 4/1/14. All AAAs, CILs, and CAOs are required to meet the Americans with Disabilities Act (ADA) standards of accessibility. For individuals who are unable to travel to a physical location, AAAs and IEBs offer counselors who are able to visit consumers in their home or residence.
Describe experienced or anticipated challenges to completing this task:
Unknown at this time.
Describe the State's plan to address the challenges described above:
Challenges will be addressed as they are identified and reported on the quarterly reports.

**5. The NWD/SEP system includes an informative community LTSS website; Website lists 1-800 number for NWD/SEP network.**

*5.1. Identify or develop URL:* Many States already have websites with information on community LTSS. If the State plans to use a website already in existence, it should submit the URL of that website.

Describe the current status of this task:
In progress.

<p>Anticipated Completion Date: 1/1/15</p> <p>The State of PA plans to update the existing “Long –Term Living in PA” website to serve as the new LTSS website where consumers will be able to complete the Level I screen and find information on available LTSS programs and how to apply. This website will also include links to each specific program office website, along with a link to the COMPASS system. In addition, the PA Department of Aging is currently in the final stages of testing their Web Resource Center website. This website will be utilized in coordination with the BIP website, and will be a useful resource for learning about providers and programs across the state.</p>
<p>Describe experienced or anticipated challenges to completing this task:</p> <p>Unknown at this time.</p>
<p>Describe the State’s plan to address the challenges described above:</p> <p>Any challenges will be addresses as they are identified and reported on the quarterly reports.</p>

- 5.2. *Develop and incorporate content:* The State should incorporate additional information into its website as necessary. Once the website is completed, the State should submit the URL for CMS to review.

<p>Describe the current status of this task:</p> <p>In progress.</p> <p>Anticipated completion date: 4/1/15</p>
<p>Describe experienced or anticipated challenges to completing this task:</p> <p>Ensuring the LTSS includes the most up to date information.</p> <p>Ensuring that all programs are represented on the website.</p> <p>The website needs to be ADA compliant, accessible to all individuals and easy to navigate.</p>
<p>Describe the State’s plan to address the challenges described above:</p> <p>Each LTSS MA Program has been tasked with the responsibility to provide the most recent, up to date information that will be placed in an Electronic Resource</p>

Folder on the LTSS website. Once all of the information has been collected, stakeholder feedback will be obtained on potential website content. Following the feedback meeting, members of the BIP Team will take the feedback received, determine the most beneficial website content and linkages to existing information, create materials to fill identified gaps, and ensure the website is 508 compliant.

Once the website has been updated, testing will occur to include outside stakeholders and internal state staff prior to full implementation in order to obtain additional feedback and make any necessary changes to ensure that the website is easy to navigate and understand.

- 5.3. *Incorporate the Level I screen into the website (recommended, not required):* If the State chooses to incorporate a Level I screening tool into its community LTSS website, it should submit the working URL of the tool, in addition to the instructions for users to complete the screen.

Describe the current status of this task:

Not yet started.

Anticipated completion date: 7/1/15

Pennsylvania DHS and PDA plan to develop a web-based Level I LTSS screening tool. The online screening tool will be available on the Commonwealth's new BIP/LTSS Website. The State of Pennsylvania will also examine the feasibility of including the Level I Screen on the Compass website. Interested individuals, or their designees, will be able to begin the referral and assessment process online by answering a set of screening questions designed to identify their potential support needs, current risks of institutionalization, and program eligibility. Also, counselors at the local AAAs and IEBs, as well as other community partners, will be able to verbally conduct a Level I Screen for interested individuals.

Describe experienced or anticipated challenges to completing this task:

Ensuring that the Level I Screen contains questions that represent each of the LTSS Programs and can properly guide consumers or designees in the most appropriate direction according to their needs.

The Level I Screen will also need to be clear, concise and 508 compliant.



Describe the State's plan to address the challenges described above:

Meetings have been scheduled with representatives from each office in order to discuss the specific business requirements needed for implementation of the Level I Assessment (Information and Referral Tool).

Level I Screens used by other states will be reviewed for content and questions.

Stakeholder feedback will be obtained on potential questions for the Information and Referral Tool.

Once the feedback has been received from the stakeholders, a sub-group of the BIP Team will be formed in order to create the questions that will be utilized within the Level I Screen. Once a set of questions has been formulated, stakeholder input will again be obtained.

After the questions have been finalized, the Level I Screen will be tested prior to live implementation and monitored thereafter to ensure that individuals are being routed to the appropriate program and entity.

**6. Single 1-800 number where individuals can receive information about community LTSS options in the State, request additional information, and schedule appointments at local NWD/SEPs for assessments.**

- 6.1. *Contract 1-800 number services:* Many States already have 1-800 numbers for providing information on community LTSS. If the State plans to use a number already in existence, it should submit that phone number. If not, it must describe its method for developing or contracting a 1-800 number service and indicate when the number is functioning.

Describe the current status of this task:

In Process.

Anticipated Completion Date: 1/1/15

The Pennsylvania DHS and PDA will utilize the existing LTSS consumer hotline, by leveraging the consumer help line run by the PA Link.

On 9/10/14, several members of the BIP Team visited the existing call center in order to determine the strengths and needs of the current set up.

Describe experienced or anticipated challenges to completing this task:
Lack of staffing to answer calls
Staff not being provided with updated information when changes are made within a program (i.e. Phone number, contact person)
Ensuring that staff have all of the information needed in order to guide each individual who calls the center to the correct entity based on their needs.
Describe the State's plan to address the challenges described above:
Once the call center is enhanced, utilization will be reviewed in order to determine if more staff will need to be hired in order to ensure all calls are answered in a timely manner.
Over the next few months, each program office will provide a short overview/training regarding their program, along with contact information to the call center/PA Link Staff to ensure all individuals are being directed to the appropriate entity and that a consistent message is shared with all callers.
A process will be put in place to ensure that all NWD/SEP entities receive any changes or updates to information in a timely fashion.

- 6.2. *Train staff to answer phones, provide information, and conduct the Level I screen:*  
NWD/SEP staff must be trained on how to provide information and conduct assessments in a standardized fashion. The State should submit related training materials and schedules.

Describe the current status of this task:
Not yet started
Anticipated Due Date: 7/1/15
Describe experienced or anticipated challenges to completing this task:
Ensuring a clear, consistent message to all callers.
Describe the State's plan to address the challenges described above:
If any new staff are hired, they will be trained on answering the phones, and providing information in a clear, consistent manner.

Existing staff will receive short refresher trainings from each of the program offices, which will include information about their various programs and contact information.

Because the PA Link call center staff will not be conducting any of the Level I Assessments, they will instead be trained on where consumers and/or designees can go in order to complete the Level I Assessment (Information and Referral Tool).

**7. State advertises the NWD/SEP system to help establish it as the “go to system” for community LTSS**

- 7.1. Develop advertising plan:* Nursing homes, hospitals, community-based organizations, medical providers, and other governmental social programs should be aware of and refer clients to the NWD/SEP system. Therefore, the State must develop and submit a plan for advertising the system to all potential referring partners.

Describe the current status of this task:

In process

Anticipated completion date: 2/1/15

Describe experienced or anticipated challenges to completing this task:

Ensuring that the message put forth in the advertising plan reflects all LTSS Programs, and is a consistent, clear message.

Describe the State’s plan to address the challenges described above:

A sub-group of the BIP Team will work together with the communications departments of both DHS and PDA to review any current advertising/marketing tools that currently exist.

The sub-group will also collaborate with community LTSS partners and external stakeholders in order to develop and disseminate informational brochures and other materials to consumers about new BIP initiatives.

In order to obtain information on the best ways to disseminate information regarding the NWD/SEP system, a BIP Stakeholder Meeting was held on 8/25/14. In addition, 5 Regional Feedback Groups are being held across the state

of Pennsylvania in November and December 2014.

- 7.2. *Implement advertising plan:* To indicate that the advertising plan has been implemented, States should submit related materials, such as posters and pamphlets.

Describe the current status of this task:

Not Yet Completed

Anticipated completion date: 6/1/15

Describe experienced or anticipated challenges to completing this task:

Ensuring that the information is disseminated to all of the different entities that work with individuals seeking home and community based services.

Describe the State's plan to address the challenges described above:

The Department will work with the local PA Link partners to determine a regional strategy on how best to distribute information and trainings about the No Wrong Door system and COMPASS. As part of the regional focus groups that will be held in November and December, input about the best ways to disseminate information and educate individuals on how to access long term community based support services will be discussed.

8. **A CSA, which supports the purposes of determining eligibility, identifying support needs, and informing service planning, is used across the State and across a given population. The assessment is completed in person, with the assistance of a qualified professional. The CSA includes a CDS (a Core Data Set of required domains and topics).**

- 8.1. *Develop questions for the Level I screen:* The Level I screen should include a series of basic financial and functional questions that indicate whether a person may be eligible for Medicaid-funded community LTSS. States must identify and submit these questions. Many will submit a Level I screen already in use.

<p>Describe the current status of this task:</p> <p>Not yet started</p> <p>Anticipated completion date: 3/1/15</p> <p>Pennsylvania is committed to creating an initial Level I standardized assessment tool, to be used across disability populations, in order to determine an individuals' need for training, support services, medical transportation and other services.</p>
<p>Describe experienced or anticipated challenges to completing this task:</p> <p>Ensuring that the Level I Screen contains questions that represent each of the LTSS Programs and can properly guide consumers or designees in the most appropriate direction according to their needs.</p> <p>The Level I Screen will also need to be clear, concise and 508 compliant.</p>
<p>Describe the State's plan to address the challenges described above:</p> <p>Level I Screens used by other states will be reviewed for content and questions.</p> <p>Stakeholder feedback will be obtained on potential questions for the Information and Referral Tool.</p> <p>Once the feedback has been received from the stakeholders, a sub-group of the BIP Team will be formed in order to create the questions that will be utilized within the Level I Screen. Once a set of questions has been formulated, stakeholder input will again be obtained.</p> <p>After the questions have been finalized, the Level I Screen will be tested prior to live implementation and monitored thereafter to ensure that individuals are being routed to the appropriate program and entity.</p>

- 8.2. *Fill out CDS crosswalk to determine if State's current assessments include required domains and topics:* Refer to Appendix H in the Manual for instructions on how to determine if the assessment already in use has all required domains and topics within the CDS. An electronic version of the CDS crosswalk can be found on the Balancing Incentive Program technical assistance website at: <http://www.balancingincentiveprogram.org/resources/crosswalk-between-core-standardized-assessment-csa-and-core-dataset-cds>.

Describe the current status of this task: CDS Crosswalk is complete. Please see attachments.
Describe experienced or anticipated challenges to completing this task: Unknown at this time.
Describe the State's plan to address the challenges described above: Challenges will be addressed as they are identified and reported on the quarterly reports.

- 8.3. *Incorporate additional domains and topics if necessary (stakeholder involvement is highly recommended):* Many States already use assessments that include all of the required domains and topics within the CDS. If not, the State should incorporate additional domains and topics using input from stakeholders. For the required deliverable, the State should submit the final assessment in addition to any materials that indicate stakeholder involvement.

Describe the current status of this task: Not yet completed Anticipated completion date: 4/1/15
Describe experienced or anticipated challenges to completing this task: Ways to address any identified gaps within the assessment tools.
Describe the State's plan to address the challenges described above: The Program Offices will review the existing assessment tools, determine how additional domains/topics will be incorporated into the assessment process, and include stakeholder input. Revised copies of Level II assessment tools will be provided to CMS upon completion.

- 8.4. *Train staff members at NWD/SEPs to coordinate the CSA:* NWD/SEP staff must be trained to initiate and coordinate the collection of Level II assessments. This involves working with the clinical staff responsible for actually conducting the assessment and ensuring the assessment is completed in a timely fashion. Once

again, States should submit training materials and schedules associated with this task.

Describe the current status of this task:

Currently, all qualified staff are trained to initiate and coordinate the collection of Level II Assessments, therefore this indicator is considered complete.

Training will only occur with newly hired staff, or if considerable changes are made to a specific CSA or CSA process.

The state of Pennsylvania will provide copies of any training materials, if training is necessary.

Describe experienced or anticipated challenges to completing this task:

Unknown at this time.

Describe the State's plan to address the challenges described above:

Challenges will be addressed as they are identified and reported on the quarterly reports.

*8.5. Identify qualified personnel to administer the CSA:* States should submit a list of entities responsible for conducting the different portions of the assessment in addition to their qualifications, such as certification, education, or training.

Describe the current status of this task:

For those individuals who conduct in-person Level II assessments and evaluations, certain training and qualification requirements are already in place to ensure assessment validity and consistency in results.

Assessors who conduct the LCD must have one of the following qualifications:

- One year of experience in public or private social work and a Bachelor's Degree which includes or is supplemented by 12 semester hours credit in sociology, social welfare, psychology, gerontology, or other related social sciences, or
- Two years of case work experience including one year of experience performing assessments of client's functional ability to determine the need for institutional or community-based services and a bachelor's degree which includes or is supplemented by 12 semester hours credit in

sociology, social welfare, psychology, gerontology, or other related social sciences, or

- One year assessment experience and a bachelor's degree with social welfare major, or
- Any equivalent combination of experience or training including successful completion of 12 semester credit hours of college level courses in sociology, social welfare, psychology, gerontology, or other related social sciences. One year experience in the AAA system may be substituted for one year assessment experience.

Qualified Intellectual Disability Professionals (QIDP) who evaluate applicants for the ODP waivers must have one of the following:

- A master's degree or higher level of education from an accredited college or university and one year of work experience working directly with persons with intellectual disabilities;
- A bachelor's degree from an accredited college or university and two years of work experience working directly with persons with intellectual disabilities; or
- An associate's degree or 60 credit hours from an accredited college or university and four years of work experience working directly with persons with intellectual disabilities.

Assessors who complete the assessments for the various levels of care for mental health services have one of the following qualifications:

- **Mental Health Professional**-A person without a graduate degree who, by training and experience, has achieved recognition as a mental health worker.
- **Psychiatrist**- A physician who has completed a 3 year residency in psychiatry and is licensed to practice in this Commonwealth.
- **Psychologist**- A person licensed to practice psychology in this Commonwealth.
- **LPHA-Licensed Practitioner of the Healing Arts**-
  - (a) An individual licensed by the Commonwealth to practice the healing arts
  - (b) The term is limited to a physician, physician's assistant, certified registered nurse practitioner, and psychologist.
- **Behavioral Health Managed Care Organizations (BH-MCOs)** - Must identify the qualifications of staff who will determine medical necessity. Medical necessity determinations must be made by qualified and trained



practitioners with appropriate clinical experience or expertise in treating the member's condition or disease in accordance with CMS Guidelines, the HealthChoices RFPs, and applicable legal settlements.

Assessors who conduct the Functional Eligibility Assessment for the Adult Autism Waiver (AAW) and the Adult Community Autism Program (ACAP) must have the following:

- Completed required training developed by the Bureau of Autism Services for people with Autism Spectrum Disorders, and
- Have a Bachelor's degree in Social Work, Psychology, Education, or a related human services field, or
- A High School diploma or its equivalent and two years of experience working with individuals with disabilities in a Home and Community Based Setting.

Assessors who conduct the SIB-r Assessment for the AAW must have the following:

- At least a Bachelor's degree in Education, Psychology, Social Work, or other related social sciences degree.
- Have either 1) at least three years experience providing case management for people with disabilities or 2) at least three years experience working with people with autism spectrum disorders.
- Complete required training developed by the Bureau of Autism Services for Supports Coordination for people with autism spectrum disorders, including training in needs assessment and person centered planning.

Assessors who conduct the SIB-r Assessment for the ACAP must have the following:

- At least a Bachelor's degree in Education, Psychology, Social Work, or other related human services or social sciences field.
- The Behavioral Health Practitioner who approves the assessment must have at least a Master's Degree in the same range of fields and five (5) years' experience in administering or interpreting functional behavioral assessments.

Assessors who conducts the MA-51 form must be the following:
<ul style="list-style-type: none"> <li>• A Physician (MD or DO) with an active PA License</li> </ul>
Describe experienced or anticipated challenges to completing this task:
Unknown at this time.
Describe the State's plan to address the challenges described above:
Challenges will be addressed as they are identified and reported on the quarterly reports.

8.6. *Regular updates:* After the implementation of the CSA, States should submit brief semiannual reports with successes and challenges associated with the CSA.

Describe the current status of this task:
The State of Pennsylvania commits to identify and report semiannually to CMS any successes and/or challenges associated with the CSA.
Describe experienced or anticipated challenges to completing this task:
Unknown at this time.
Describe the State's plan to address the challenges described above:
Challenges will be addressed as they are identified and reported on the quarterly reports.

9. **States must establish conflict of interest standards for the Level I screen, the Level II assessment and, the plan of care processes. An individual's plan of care must be created independently from the availability of funding to provide services.**

9.1. *Describe current case management system:* This description should identify areas of possible conflict in case management and systems the state currently has in place to mitigate those conflicts.

Describe the current status of this task:
Please see attached document.
Describe experienced or anticipated challenges to completing this task:

Identifying areas of conflict within Behavioral Health Programs.
Describe the State's plan to address the challenges described above:  BIP Project Manager will meet with representatives from the PA Office of Mental Health and Substance Abuse Services in order to identify areas of potential conflict. Once areas of potential conflict have been identified, specific mitigation strategies will be established.

- 9.2. *Establish protocol for removing conflict of interest:* The state must also describe how it plans to ensure that community LTSS eligibility determination, enrollment, and case management processes are free of conflict of interest.

Describe the current status of this task:  In process  Anticipated completion date: 3/1/15
Describe experienced or anticipated challenges to completing this task:  Identification of mitigation strategies that might already be in place  Identification of new mitigation strategies that can be implemented based on resources available.
Describe the State's plan to address the challenges described above:  BIP Project Manager will meet with representatives from the PA Office of Mental Health and Substance Abuse Services in order to identify current and potential mitigation strategies.

**10. States must report service, outcome, and quality measure data to CMS in an accurate and timely manner.**

- 10.1. *Identify data collection protocol for service data:* States should submit the sources for these data and/or the surveys that will be used to collect these data. As applicable, information should also include sampling and data collection protocols.

Describe the current status of this task:  Data Collection Protocol for Service Data is Complete. Please see attached documents.
Describe experienced or anticipated challenges to completing this task:  Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

10.2. *Identify data collection protocol for **quality data**:* States should submit the sources for these data and/or the surveys that will be used to collect these data. As applicable, information should also include sampling and data collection protocols.

Describe the current status of this task:  Data Collection Protocol for Quality Data is Complete. Please see attached documents.
Describe experienced or anticipated challenges to completing this task:  Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

10.3. *Identify data collection protocol for **outcome measures**:* States should submit the sources for these data and/or the surveys that will be used to collect these data. As applicable, information should also include sampling and data collection protocols.

Describe the current status of this task:  Data Collection Protocol for Outcome Measures is Complete. Please see attached
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documents.
Describe experienced or anticipated challenges to completing this task:  Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

10.4. *Report updates to data collection protocol and instances of **service data** collection:* On a semiannual basis, States should submit any changes to their protocols for collecting service data, or any new instances of service data collection.

Describe the current status of this task:  Pennsylvania is committed to submitting any changes to their protocols for collecting service data, or any new instances of service data collection, to CMS on a semiannual basis.
Describe experienced or anticipated challenges to completing this task:  Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

10.5. *Report updates to data collection protocol and instances of **quality data** collection:* On a semiannual basis, States should submit any changes to their protocols for collecting quality data, or any new instances of quality data collection.

Describe the current status of this task:  Pennsylvania is committed to submitting any changes to their protocols for collecting quality data, or any new instances of quality data collection, to CMS on a semiannual basis.
Describe experienced or anticipated challenges to completing this task:

Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

- 10.6. *Report updates to data collection protocol and instances of outcomes measures collection:* On a semiannual basis, States should submit any changes to their protocols for collecting outcomes measures, or any new instances of outcomes measures collection.

Describe the current status of this task:  Pennsylvania is committed to submitting any changes to their protocols for collecting outcome measures, or any new instances of outcome measures collection, to CMS on a semiannual basis.
Describe experienced or anticipated challenges to completing this task:  Unknown at this time.
Describe the State's plan to address the challenges described above:  Challenges will be addressed as they are identified and reported on the quarterly reports.

**11. States should identify funding sources that will allow them to build and maintain the required structural changes.**

- 11.1. *Identify funding sources to implement the structural changes:* Before building their systems, States must identify the sources of funding they will use to make these changes. States should submit information on the total cost of implementing the structural changes and the amount that each funding source will provide.

Describe the current status of this task:  Please see Attachment. This document has been updated to include the budget for the proposed structural changes.
Describe experienced or anticipated challenges to completing this task:

Unknown at this time.
<p>Describe the State's plan to address the challenges described above:</p> <p>Challenges will be addressed as they are identified and reported on the quarterly reports.</p>

- 11.2. *Develop sustainability plan:* States must also develop clear estimates of the cost to maintain the structural changes once they are in place. Therefore, States should submit the overall maintenance budget of the structural changes and anticipated sources of funding.

<p>Describe the current status of this task:</p> <p>Not yet completed</p> <p>Anticipated Completion Date: 4/1/15</p> <p>The most significant structural changes are the modifications to COMPASS in order to allow the system to accept applications for all of the home and community based waiver programs. These are one-time costs, and will not require ongoing funding.</p> <p>The operation of the call center and the website are being done by internal staff already in place and, as such, no new funding will be required to support these activities.</p> <p>The Commonwealth recently received a planning grant from the Federal government related to creating a comprehensive No Wrong Door system for all individuals regardless of who is paying for the services. In the application, the Commonwealth indicated that we would look at how we can maintain the sustainability of the BIP activities beyond October 1, 2015.</p>
<p>Describe experienced or anticipated challenges to completing this task:</p> <p>The toll free hotline call volume exceeds expectations.</p>
<p>Describe the State's plan to address the challenges described above:</p> <p>If the toll free hotline volume exceeds expectations, the Department will look to provide additional resources to make sure the toll free line continues to be responsive to calls.</p>

In addition, as indicated, Pennsylvania will utilize the recent federal planning grant for a no wrong door system to identify any gaps in funding or resources that may occur after the BIP Program ends.

- 11.3. *Describe the planned usage for the enhanced funding.* The State must identify the projected amount of funding to be earned through the Program and describe how the State will use this enhanced funding by September 30, 2015. The State should also describe how the planned expenditures meet the following criteria: 1. Increase offerings of or access to non-institutional long-term services and supports; 2. Are for the benefit of Medicaid recipients; and 3. Are not a prohibited use of Medicaid funding.

Describe the current status of this task:

All of the enhanced funding received will go towards the expansion of our Medicaid home and community based services. As such, all funds will go to Medicaid consumers, and be provided within the established home and community based waiver services approved by CMS.

Planned usage for enhanced funding document is complete. Please see the attached document.

Describe experienced or anticipated challenges to completing this task:

No challenges are anticipated.

Describe the State's plan to address the challenges described above:

N/A

**12. States must make an effort to coordinate their NWD/SEP system with the Health Information Exchange IT system.**

- 12.1. *Describe plans to coordinate systems:* This may include discussions with State Exchange IT system staff, the identification of key data fields that should be shared across the systems, and the development of a bridge between the systems.

Describe the current status of this task:

The State of Pennsylvania is currently using the Federally-Facilitated Marketplace (a.k.a., FFM). Utilizing this system, the state of PA routes



individuals from the Exchange Portal to the Medicaid Portal utilizing the following process: if an applicant is determined ineligible by the system used by the state of Pennsylvania, the account is transferred from Pennsylvania's Enterprise Data Exchange (EDX) to the FFM using the Federal Data Services Hub's (FDSH) electronic Account Transfer (AT) data exchange service. This same service is used by the FDSH to refer accounts from the FFM to Pennsylvania.

In relation to how Pennsylvania identifies individuals who are ineligible for Medicaid under the rules of Modified Adjustment Gross Income (MAGI), but eligible for Medicaid-funded LTSS under special income rules: the FFM would send an account transfer for a non-MAGI assessment. This application is then processed like any other application that would be received directly at the CAO.

Describe experienced or anticipated challenges to completing this task:

The Commonwealth, along with the Federal Government, who administers the FFM for Pennsylvania, will be monitoring how cases are transmitted and will identify any issues for resolution.

Describe the State's plan to address the challenges described above:

As concerns are identified, Pennsylvania will work with the staff at the FFM to determine the best options to resolve the issues.

*12.2. Provide updates on coordination: On a semiannual basis, States should report to CMS updates on coordination including new infrastructure developments.*

Describe the current status of this task:

The State of Pennsylvania is committed to providing updates to CMS on coordination, including new infrastructure developments, on a semiannual basis.

Describe experienced or anticipated challenges to completing this task:

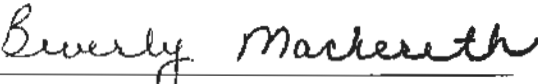
Unknown at this time.

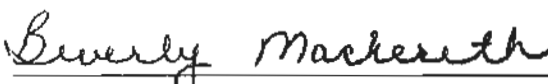
Describe the State's plan to address the challenges described above:

Challenges will be addressed as they are identified and reported on the quarterly reports.

The Work Plan should be signed by the lead of the State Medicaid Agency (the Oversight Agency) and by the Operating Agency (if those two agencies are different).

Signature of Lead of Operating Agency    Signature of Lead of Oversight Agency  
(Medicaid)

  
Name: Beverly D. Mackereth  
Agency: PA Department of Human Services  
Position: Secretary

  
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For technical assistance in completing the Work Plan Table and companion text, you may email: [info@balancingincentiveprogram.org](mailto:info@balancingincentiveprogram.org).