

HCBS Autism Specific Transition Plan
Revised for Program Specific Comment Period
01/26/15-02/25/15

KDADS has developed a statewide transition plan for bringing HCBS provider-owned and provider-controlled settings into compliance with new HCBS settings. We propose CMS approve up to 5 years allowance from the effective date of the regulation to comply with the transition plan for the HCBS-Autism Waiver. The plan is as follows:

The new Home and Community Based Services (HCBS) Settings Rule from the Centers for Medicare and Medicaid Services (CMS) applies to all programs that provide HCBS. In Kansas, this rule will apply to all settings where HCBS are provided, HCBS-Autism services are typically provided in the consumer's place of residence in the community HCBS-Autism.

This Transition Plan ensures the HCBS-Autism program is in compliance with the new settings requirements and meets the expectations of CMS, prior to submission of the HCBS-Autism Transition Plan. The Transition Plan will include the following:

- Summary of all public comments received for the HCBS-Autism program relating to the proposed transition plan, including any revisions as a result of the public comments
- Inventory and description of all HCBS-Autism settings
- How setting types meet or does not meet the federal HCBS settings requirements

An Assessment Plan

- To complete assessments for HCBS Settings
- To identify areas of non-compliance that needs to be addressed
- To identify the number of individuals affected by the HCBS Settings Rule

A Compliance Plan

- To ensure the health and safety of participants who reside in locations that need to meet corrective action requirements for setting to come into compliance during the State's specified transition timeline
- To move individuals to compliant settings, if necessary
- In April, the KDADS, Medicaid operating agency, and KDHE, single State Medicaid agency, identified settings that should be reviewed for compliance with the HCBS Final Rule related to HCBS settings.

Over the first six months of the Transition Plan, KDADS will conduct provider assessments and develop a compliance summary from each provider type and identify areas of non-compliance for further review. This assessment will provide the basis for identifying, settings in compliance with the rule, settings requiring heightened scrutiny, and settings no longer qualifying for HCBS-Autism.

KDADS will assess all provider setting types to identify the scope of compliance and measure the impact on individual HCBS-Autism participants within 180 days of approval of the Transition Plan. The assessment will identify non-compliant settings and barriers to achieving compliance that require additional time to address. The assessment will also identify settings which are deemed ineligible by the new rule for which relocation of HCBS participants will be required. Kansas will use self-assessments, attestations, policy and record review, participant and provider interviews, observations, and other tools to determine compliance with respect to the new rule.

- Non-residential settings will be reassessed if additional guidance from CMS warrants more information to determine compliance with the new rule. Non-residential settings will be assessed pending CMS additional guidance and within 90 days of approval of the Transition Plan.
- Quality Management Specialists (QMS), Health Facility Surveyors, and MCO Care Coordinators will assist the State in identifying compliance related issues through normally occurring interactions, and targeted reviews when heightened scrutiny is determined appropriate or when settings are determined likely ineligible for HCBS. Additional protocols will be added to existing quality review materials as part of ongoing compliance and quality assurance upon approval or advisement by CMS.
- HCBS settings results will be provided within 60 days of the date of assessment. Non-compliant settings will be asked to participate in Focus Groups following the completion of statewide assessment period. The Focus Groups will identify areas and reasons of non-compliance and additional guidelines and benchmarks for compliance with the Final Rule to ensure compliance of all HCBS-Autism settings. HCBS-Autism settings will be required to submit a plan of correction to address any identified areas of non-compliance which will be reviewed and accepted or rejected by the state.

By March 31, 2015, the State will review existing policies, regulations and statutes to identify barriers to compliance or conflicting information that hinders compliance. State law changes will be initiated to ensure compliance with HCBS Settings Rule and other elements of the CMS Final Rule, if appropriate.

Within 12 months of approval of the Transition Plan, the State will notify all HCBS-Autism settings and providers of their compliance with the new Final Rule. All settings that are currently in compliance will be identified and shared publically with MCOs, stakeholders and consumers.

HCBS-Autism settings that need additional time to come into compliance will be notified of non-compliance areas. KDADS will work with stakeholders to develop timelines and benchmarks for HCBS Setting Final Rule compliance within the shortest timeframe possible.

- Settings that have regulatory or statutory limitations will be notified of the process, plan and timeline to complete changes to regulation and state law to comply with the new Final Rule. This process may take up to two (2) years to complete. Compliance steps will be required for the parts of the Final Rule that are not affected by regulatory or statutory limitations. Individuals and providers will be notified of the process, plan and timeline for all settings to come into compliance.
- The State will update all provider manuals, consumer handbooks, and guides to incorporate the Final Rule requirements within 90 days of completion of the Assessment and Compliance Review activities. Ongoing updates will be made as settings become compliant with the new rule or regulation and statutes changed. Non-compliant settings will be monitored by the quality assurance and program integrity group during the 5 year transition plan timeframe. Failure to comply by the established deadlines could result in a final determination that the setting is non-compliant.

For settings that are not compliant with the new Final Rule, the State will ensure appropriate transitions by working with stakeholders and community partners. Additional stakeholder input will be required to develop a comprehensive plan for transition by January 2016. However, all HCBS participants will be afforded education and information about their rights and responsibilities prior to a transition from a non-compliant setting to a compliant setting. The State will establish a transition policy for relocation or transition to compliant settings after public input and comment that will address the process for transition, ensure choice is provided, and identify timeframes for appropriate transition.

Over the next five years, the Kansas Department for Aging and Disability Services (KDADS) will ensure that all residential and non-residential locations where a person receives home and

Community-based services (HCBS) through Medicaid allows individuals to be integrated in and have support for full access to services in the greater community, including opportunities to seek Employment and work in competitive integrated settings, to control personal resources, and to engage in community life in the same way as individuals not receiving Medicaid HCBS.

All provider controlled and owned residential and non-residential settings will be reviewed (regardless of license requirements), within 180 days of approval of the Transition Plan to identify settings that do not meet the rule and need additional time to address. KDADS does not anticipate HCBS setting compliance issues due to the program recipients being primarily children who are served in their family homes, or similar settings, and the identified limitations in residential settings will not apply to their services and supports. The other non-residential

settings will be evaluated for compliance utilizing the regulations and toolkit provided by CMS. Noncompliance will be addressed on a case-by-case basis.

During 2015, KDADS will assess all HCBS-Autism Settings by June 30, 2015 to identify settings that comply with the HCBS Setting Rule and review state law and program policies that may need to be changed. KDADS will make changes to the Transition Plan in 2015 to set more specific timelines and benchmarks for compliance. By December 31, 2015, KDADS will identify all providers and individuals who may be affected by the changing rules and seek public input on timeframes and benchmarks. During 2016, KDADS will notify all HCBS-Autism providers of non-compliance areas, timelines for compliance and benchmarks for achieving compliance in the shortest period possible. KDADS may change the Transition Plan to ensure compliance with the HCBS Setting Rules based on the State's Transition Plan for Access, Compliance and Public Engagement.