DAUPHIN COUNTY MH/MR PROGRAM
POLICY AND PROCEDURE

<table>
<thead>
<tr>
<th>Department:</th>
<th>MII</th>
<th>Policy No.</th>
<th>13-02</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>ID</td>
<td>Effective Date</td>
<td>8/7/13</td>
</tr>
<tr>
<td></td>
<td>EI</td>
<td>Revision Date</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Admin</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Crisis</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Approved</td>
<td></td>
</tr>
</tbody>
</table>

Title: Waiver Capacity Management including Waiver Capacity Commitment, Waiver Residential Vacancy Management, Reserved Capacity Due to Hospital/Rehab, Unanticipated Emergencies and Service Initiation upon Waiver Enrollment

Policy: The Dauphin County Mental Health/Intellectual Disabilities Program will assure that requirements for Waiver Capacity Management of the Administrative Entity Operating Agreement are met.

Definitions:

Administrative Entity: County/AE – The Dauphin County Mental Health/Intellectual Disabilities Program is also referred to as the Administrative Entity that enters into and maintains a signed Operating Agreement with the Department Of Public Welfare to perform administrative functions delegated by the Department in compliance with the Department’s approved Consolidated and Person/Family Directed Supports (P/FDS) Waivers, written policies and procedures, and departmental decisions.

Approved Program Capacity – The individual capacity established by the Department for each waiver-funded residential service location licensed under 55 Pa. Code Chapters 6400 (relating to Community Homes for Individuals With Mental Retardation).

Department – The Pennsylvania Department of Public Welfare (DPW) and the state program offices under the heading of this Department, including the Office of Developmental Programs.

Home and Community Services Information System (HCSIS) – The secure internet information system serving the DPW state program offices that oversee Medicaid Waivers.

Jurisdiction of the Administrative Entity – The geographic area and/or specific Participants the County is responsible for when providing Waiver functions as identified in their Operating Agreement.
Office of Developmental Programs (ODP) – The Pennsylvania state program office within DPW that oversees ODP Waivers, sets policy, provides funds and administers services for individuals with intellectual disabilities and autism.

Participant – An individual determined to meet eligibility criteria and who is enrolled in either the Consolidated or P/FDS Waiver.

Prioritization of Urgency of Need for Services (PUNS) – The strategic planning tool and current process used to categorize an applicant’s need for services prior to enrollment in one of the Waivers which is then reviewed at least annually thereafter.

Provider – An entity or individual that enters into and maintains a signed Provider Agreement with the Department to render a Waiver service(s), which meets the definitions of both a Willing Provider and a Qualified Provider.

Reserved Capacity – The portion of the approved waiver capacity that is reserved for the enrollment of specified individuals or targeted purposes.

Supports Coordination Organization (SCO) – A type of Waiver Provider with the primary responsibilities of locating, coordinating and monitoring needed services and supports for Waiver Participants. CMU is Dauphin County’s Supports Coordination Organization.

Supports Coordinator (SC) – An employee of a SCO with the primary responsibilities of locating, coordinating and monitoring needed services and supports for Waiver Participants.

Unanticipated Emergency – An occurrence when an individual or P/FDS Waiver Participant has an imminent risk of: institutionalization within twenty-four (24) hours, substantial self-harm or substantial harm to others; if the individual does not immediately receive services and this imminent risk is precipitated by at least one of the following situations:

- The illness or death of a caretaker.
- The sudden loss of the individual’s home (for example, due to fire or natural disaster).
- The loss of the care of a relative or caregiver, without advance warning or planning.

To be considered by the Department to be an Unanticipated Emergency, the County Program must have no other resources available to address the individual’s immediate Health and Welfare needs.

Waivers – The current approved Consolidated and P/FDS Waivers, except where otherwise specifically named herein.

Waiver Capacity Commitment – The number of Participants the County Program may enroll in a specified Waiver at any given point in time during a FY as approved by the Department.
Waiver Capacity Commitment Notification – A notification that designates the Department’s current approved maximum number of Participants within the Jurisdiction of the County that may be enrolled in each Waiver at any given point in time during a FY. There are two numbers designated in the Waiver Capacity Commitment Notification. One reflects the number of Participants that may be enrolled in the Consolidated Waiver and one reflects the number of Participants that may be enrolled in the P/FDS Waiver during a FY.

Waiver Capacity Management – The overall process of properly maintaining the County’s Waiver Capacity Commitment which includes following Department-approved policies and procedures relating to Waiver Capacity Commitment, Maintaining Reserved Capacity (including the tracking of individuals due to hospitalization or rehabilitation care), Waiver Residential Vacancy Management and management of Unanticipated Emergencies.

Waiver Residential Vacancy Management – The process of identifying and managing a vacancy in a service location licensed under 55 Pa. Code Chapter 6400 (relating to Community Homes for Individuals with Mental Retardation) within the service location’s Approved Program Capacity.

Procedure:

1. Dauphin County MH/ID will cooperate with filling a vacancy per Department-established policies and procedures, at all times, remaining within a provider’s approved program capacity serving only individuals with an emergency need and listed in the emergency PUNS.

2. Dauphin County MH/ID will not enroll participants in the Consolidated or PFDS Waivers during a fiscal year that exceeds the approved number of waiver participants documented in the County’s Waiver Capacity Commitment letter from the Office of Developmental Programs.

3. Dauphin County MH/ID will provide administrative functions to ensure that the designated number of new participants will be enrolled within the required fiscal year and will meet the requirement related to a waiting list initiative.

4. HCSIS will be updated to reflect all actions related to an individual’s enrollment in ID services.

5. The Supports Coordinator is required to monitor all waiver services. The SC/SCO will notify the County if waiver services are not initiated within forty-five (45) calendar days after the effective date of waiver enrollment for a waiver participant.

   a. When a delay in service initiation is reported, the County will submit a written request for an extension to the regional ODP office. The request will include the reason for the delay and the efforts to resolve the issues.

   b. The extension request will include documentation of the County’s efforts to resolve the service delay.
6. All requests for unanticipated emergencies will be provided to the Office of Developmental Programs in writing.

   a. Individuals considered for unanticipated emergencies are those individuals that are previously unknown to the ID system; an individual not identified correctly in the PUNS process; or the individual’s PUNS does not accurately reflect an unanticipated change in circumstances.

   b. Dauphin County MH/ID will first consider all existing waiver capacity prior to requesting capacity from ODP.

   c. Dauphin County MH/ID will consider use of base dollars in the event funds are needed to fund services in order to protect the individual’s health and safety.

   d. The individual’s PUNS will be updated as appropriate.

   e. The individual will be enrolled in the waiver when capacity is reported.

7. Regular meetings with Supports Coordination Organization staff will be utilized to monitor the status of former waiver participants whose enrollment in the waiver is being reserved because of a short term stay in a hospital or rehabilitation care facility.

   a. When a participant is in reserved capacity status for more than 30 consecutive days, the County, in consultation with the SCO, will review team recommendations regarding the participants return to the community, at a minimum, monthly basis.

   b. This review will include the possibility of a return to the participant’s former home, changes in level of support, adaptations, and whether natural, family and community supports can assist the participant in returning to the community.

Applicable Requirements:
- Administrative Entity Operating Agreement