

Project: Transitions – Developmental Disabilities Waiver

Lead: Patrick Stephan, (614) 728-2736, Patrick.Stephan@dodd.ohio.gov

Updated: March 3, 2014

| PROJECT PURPOSE | Status |
|--|------------------|
| Define the issue that the project will address or remedy | Oct 24 |
| Identify “hot spots” that illustrate the urgency to find a solution | Oct 24 |
| Define the project purpose and scope of work | Oct 24 |
| Complete a preliminary workplan (using this page as a template) | Revised May 2012 |
| Submit high-value concepts to OBM for the mid-biennium review | Oct 24 |
| PROJECT MANAGEMENT | |
| Identify the project team and augment with consultants if needed | Oct 24 |
| Determine the project management structure, including table of organization | Oct |
| Create a detailed project workplan | Revised May 2012 |
| Develop a workplan budget and identify the source(s) of funding | May 2012 |
| Report project status to the Program Office and HHS Cabinet | Ongoing |
| Coordinate with other project teams through the Program Office | Ongoing |
| Develop a stakeholder/media/legislative outreach plan | Early Nov |
| Identify external stakeholders and create a stakeholder advisory group | mid-November |
| Establish a process for regular stakeholder input | mid-November |
| Host kick-off event(s) for the project team and stakeholders | Early Nov |
| BUSINESS REQUIREMENTS AND SOLUTION | |
| Define business requirements | Nov |
| Conduct an internal scan of solutions/capabilities | Nov |
| Identify and report gaps in existing operations/infrastructure | Nov |
| Conduct an external market scan and/or request for information (RFI) | Nov |
| Assess the federal landscape for opportunities, including funding, and threats | Nov |
| Identify best practices, within the state and externally | Nov |
| Recommend a solution to meet business requirements | Early Dec |
| Identify key deliverables necessary to implement the solution | Early Dec |
| Conduct an impact analysis of expected benefits and costs of the solution | Dec |
| DELIVERABLES | |
| Develop an implementation budget and identify the source(s) of funding | May 2012 |
| Draft legislative and/or administrative rule language | September 2012 |
| Recommend an appropriation strategy, if needed, for mid-biennium review | Dec |
| Develop a detailed stakeholder/media/legislative strategy | Jan-Feb |
| Recommend a procurement strategy | August 2012 |
| Develop a request for a proposal, if needed | N/A |
| Support the procurement process (e.g., evaluation, vendor selection) | N/A |
| Support the completion and approval of federal compliance activities | August 2012 |

Project: Transitions – Developmental Disabilities Waiver

Lead: Patrick Stephan, (614) 728-2736, Patrick.Stephan@dodd.ohio.gov

Subject Matter Expert DODD (Lori Horvath, 614-387-0375)

Updated: March 3, 2014

PROJECT PURPOSE

Situation

Am. Sub. H.B. 153 which was effective July 1, 2011 authorizes the Ohio Department of Job and Family Services (ODJFS), now the Ohio Department of Medicaid (ODM), to transfer administration of the Transitions – Developmental Disabilities (TDD) waiver to the Ohio Department of Developmental Disabilities (DODD). This move will allow the state to expand and streamline home and community-based service waivers, and create a unified service delivery system for individuals with developmental disabilities that make it easier to access services.

A key consideration while developing the transfer plan will be minimizing disruption in service to individuals enrolled in the TDD waiver. Decisions having an immediate impact on service delivery include:

- Case management structure for the waiver
- Provider qualifications
- Services to be maintained or modified
- Budget authorization processes

Hot Spots

Hot Spots include the following:

- Determining appropriate levels of care for individuals currently enrolled in the TDD Waiver with intensive medical needs and ensuring availability of sufficient medical supports
- Am. Sub. H.B. 153 Section 309.33.20 directs OBM to develop a line item for the Ohio Department of Developmental Disabilities for administration of the TDD waiver. The Ohio Department of Job and Family Services, now the Ohio Department of Medicaid (ODM), and the Ohio Department of Developmental Disabilities will need to identify the amount of state match required for the transfer of TDD enrollees to other waivers administered by Developmental Disabilities.

Scope of Work

The purpose of this project is to transfer administration of the TDD waiver from the Ohio Department of Medicaid to the Ohio Department of Developmental Disabilities in an effort to create a unified service delivery system for individuals with developmental disabilities.

High-Value Targets

Key decision points in transferring the TDD include the following:

- Amending the waiver application and rules to reflect the change in waiver administration and any other program components.
- Preparing to transfer case management responsibilities for approximately 2900 individuals from CareStar, the case management agency for the Ohio Department of Job and Family Services, to 88 County Boards of Developmental Disabilities.
- Identifying amount of state match to transfer from ODM to DODD for both waiver services and targeted case management
- Identify processes for provider enrollment and oversight.
- Identify system changes / access points necessary to achieve operational capability

PROJECT MANAGEMENT

Project Team

Core TDD Team:

| Name | Department | Phone | Email |
|--------------------|-----------------|--------------|--|
| Patrick Stephan | DODD – Medicaid | 614-728-2736 | Patrick.Stephan@dodd.ohio.gov |
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| Karin Hoyt | DODD - Fiscal | 614-728-8010 | Karin.Hoyt@dodd.ohio.gov |
| Debra Moscardino | ODM | 614-752-3633 | Debra.Moscardino@medicaid.ohio.gov |
| Icilda Dickerson | ODM | 614-752-3578 | Icilda.Dickerson@medicaid.ohio.gov |
| Brandi Nicholson | ODM | 614-752-3509 | Brandi.Nicholson@medicaid.ohio.gov |
| Laura Leach | ODM | 614-752-3579 | Laura.Leach@medicaid.ohio.gov |
| Caroline Westbrook | ODM | 614-752-3571 | Caroline.Westbrook@medicaid.ohio.gov |
| Rick Tully | OHT | 614-752-2585 | rick.tully@governor.ohio.gov |

Initial stakeholder meeting is scheduled for November 17, 2011. The purpose of this meeting will be to identify additional stakeholders to include in the work group. Representation from the Ohio Association of County Boards, Ohio Provider Resource Association, the ARC of Ohio, CareStar, and individuals and family members of those receiving TDD services.

Project Management

Staff from both agencies will be responsible for management of this project. Project plans and information will be shared with members of the workgroup. As risks are identified, the workgroup will review potential actions and determine the best action to implement.

Work Plan

The project work plan includes the following:

| Activities | Timeline |
|--|--|
| Comparison of TDD structure with that of waivers administered by the Ohio Department of Developmental Disabilities to determine probable approach. | TDD Core Team met on 9/28/11 and proposed the plan of transferring TDD enrollees to other waivers, rather than transferring the TDD waiver to another agency. |
| Determine ways in which the Enterprise Technology System could be leveraged. | Demo of the Enterprise System was completed on 9/28/11. Evaluation of the future use of this application will be ongoing as the detailed work plan is developed. |
| Data analysis of TDD enrollees to develop initial transfer timeline. | Process was initiated 9/28/11 and is ongoing. |
| Stakeholder small group meeting to identify members to participate in the larger work group. | November 17, 2011 |
| Workgroup to identify most logical approach to transfer. | Transfer plan to be finalized, July 1, 2012. Due to budget constraints, the proposal to transfer TDD enrollees was replaced with a plan to transfer the operation of the TDD waiver to DODD. |
| Identify the amount of state match to be transferred from ODM to DODD for both waiver services and targeted case management | July 1, 2012 |
| Submitting waiver amendment to CMS reflecting changes in the agreed upon work plan. | August 2012 |
| Finalize rule changes, waiver amendment, system changes and contracts necessary for go-live of TDD with DODD. | January 1, 2013 |

Project Budget

Fiscal staff from both agencies worked together to determine the amount of funding to be transferred from ODM to DODD for both direct services and administrative costs.

Coordination

Patrick Stephan is leading the effort to transfer the TDD waiver from ODM to DODD.

Stakeholder Input

Stakeholder representation to include:

- ARC of Ohio
- Ohio Association of County Boards of Developmental Disabilities
- Ohio Provider Resource Association
- Individuals/families receiving TDD services
- CareStar

BUSINESS REQUIREMENTS AND SOLUTION

Business Requirements

The TDD waiver application will be used as the basis for the transfer plan. The following areas will be addressed:

- Case management structure for the waiver
- Level of care determinations
- Provider enrollment
- Provider monitoring
- Service package and corresponding rate structure
- Claims processing
- Utilization reviews

A successful transfer of the waiver is one with which:

- Individuals experience no disruption in services.
- Providers, who choose to do so, may continue serving individuals through the waiver.
- County boards of developmental disabilities have limited financial liability for expanding services to the roughly 2900 individuals enrolled in TDD.
- Efficiencies are maximized through shared operations at a state level.

Gap Analysis

The TDD core team will work through the TDD waiver application to identify potential gaps in operations and infrastructure. As these gaps are identified, the core team will collaborate with other agency staff to review possible solutions that would appropriately satisfy the identified need.

Current gaps that have been identified and are under review include:

- Data sharing and system access
- Claims processing/auditing
- Provider oversight mechanisms
- Coordination of approvals for state plan services.

Best Practices

Recent upgrades to DODD's Incident Tracking System (ITS) allow for more robust reporting of health and welfare standards for individuals enrolled in HCBS waivers. As a result, the proposed amendment of the TDD waiver will incorporate DODD's practices for identifying and reporting incidents that may adversely impact the health and welfare of individuals receiving services.

DODD and ODM will consult with NQE, a national consultant in the area Home and Community Based Services waivers, to identify additional performance measures to be included in the waiver application.

Solution

The core TDD team will make recommendations on which business operations should transfer from ODM to DODD and which functions will remain with ODM in order to maximize efficiency. The workgroup will also recommend target dates for the items that will transition. After recommendations are reviewed and approved by leadership, the workgroup will implement the actions detailed in the work plan, making adjustments to time frames as necessary.

The plan will be communicated to individuals receiving services through the TDD waiver, their families, providers of services, and county boards of developmental disabilities.

The TDD waiver application will be amended to reflect the recommendations of the core team and submitted to CMS by September 1, 2012 for an anticipated approval date of December 1, 2012. Corresponding changes will be made to Ohio Administrative Code rules and filed in October for anticipated effective dates of January 1, 2013.

Benefits

The proposed work plan minimizes disruption in service delivery to over 2900 individuals enrolled in the TDD waiver. It enables DODD to work closely with stakeholders over the next two years to identify additional changes to the waiver's structure that may further improve efficiency and effectiveness of services.

DELIVERABLES

Implementation Budget

Fiscal personnel from ODM and DODD will work together to identify the amount of funding to be transferred from ODM to DODD to support both state match for waiver services and target case management.

Legislation

Rules in Ohio Administrative Code chapters 5101: 3-45 will be revised, as needed, to reflect the change in administration of the waiver and the use of shared services between ODM and DODD recommended in the work plan. Rules in chapter 5101: 3-47 will be rescinded, with new rules being adopted by DODD, where appropriate.

Determine state funds to be transferred from Ohio Department of Medicaid to the line item established by OBM for Ohio Department of Developmental Disabilities in accordance with Am. Sub. H.B. 153 Section 309.33.20

Procurement

The majority of administration and operational functions of the waiver will remain with ODM, DODD, and county boards.

With the anticipated transfer date of the waiver being 1/1/13, DODD plans to enter into a contract with the Arc of Ohio to provide training and outreach to individuals receiving TDD services and their families. The Arc is uniquely positioned to perform this function due to its history of involvement with individuals/families, its network of local chapters, and its history involvement with the TDD waiver since its inception in 2002.

In addition, DODD is exploring options for maintaining CareStar to complete level of care assessments. CareStar is currently the agency under contract with ODM to provide case management and level of care assessments to TDD enrollees. To support this function, the agency has developed a comprehensive web-based application, called Enterprise that includes individuals' assessments, service plans, incidents, reports, and other correspondence. CareStar possesses extensive knowledge and experience with the waiver and those it serves which would not be available through another contractor.

Federal Funding and Compliance

This project work plan is dependent upon approval by CMS to amend the waiver, as proposed.

Project: Transitions – Developmental Disabilities Waiver Transfer

Lead: Patrick Stephan, 614-728-2736, Patrick.Stephan@dodd.ohio.gov

Updated: March 3, 2014

PROJECT TEAM

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|--------------------|-----------------|--------------|--|
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Operating Protocol

A. (Updated: 2/12/13) Applicability. This Operating Protocol is developed pursuant to O.R.C. Sections 191.01-191.06 and is applicable to following state agencies:

1. Ohio Department of Developmental Disabilities (DODD)
2. Ohio Department of Job and Family Services, now the Ohio Department of Medicaid (ODM)

B. Purpose. The purpose of this Operating Protocol is to implement the transfer of the Transitions – Developmental Disabilities (TDD) Waiver to DODD and to document the responsibilities of the participating state agencies in tasks related to funding, personnel, workflow, and data sharing.

C. Funding Responsibilities.

The funding sources identified for the time period specified in the table below are committed to the transfer of the TDD Waiver to DODD.

HB 153 gave the authority for the Office of Budget and Management (OBM) to transfer appropriation and cash for the TDD Waiver from ODM to DODD. DODD has submitted a letter to ODM and OBM, certifying the FY13 estimated expenditures for the program and identifying appropriation to be transferred from ODM to DODD by fund. We anticipate that this transfer will happen when appropriation is loaded in to OAKS for FY13.

The funding responsibilities for transition of the TDD Waiver are premised on the ability of DODD's federal fund (e.g. 3G60) to go negative.

ODM will continue to process claims submitted by providers of TDD Waiver services. DODD has provided coding speed charts to ODM, which ODM will load in to OFIS. ODM will provide DODD with access to OFIS and DODD will be responsible for coding and budget checking TDD claims in the system. If a new string of coding is needed to make payments, DODD will provide the speed chart coding to ODM at least three days before the payment date. ODM will draw down the federal financial participation and direct journal the funds to DODD Fund 3G60. (Note: The ODM/Fiscal draw unit will draw the funds within two days upon receipt of the file)

DODD will include expenditures for the TDD Waiver in their federal schedule reporting beginning in FY13. ODM will grant DODD access to MITS and provide information on accessing detailed claims reporting information to complete necessary reporting for the TDD Waiver.

Operating Protocol Funding Table for: Transfer of the TDD Waiver to DODD

Time Period: 7/1/2012-6/30/2013

| Agency | Fund Source-Fund | Fund Source-ALI | Amount | CFDA No. | Will Funds Be Sub-Granted? | Description of How Funds Will Be Transacted |
|--------|------------------|--|--------------|----------|----------------------------|--|
| ODM | GRF | 600525 (Health care Medicaid/State) | -28,645,492 | | | Appropriation will be transferred from ODM to DODD |
| DODD | GRF | 322407 (Medicaid match) | +26,881,592 | | | Appropriation will be transferred from ODM to DODD |
| DODD | GRF | 320321 (Central administration) | +1,763,900 | | | Appropriation will be transferred from ODM to DODD |
| ODM | GRF | 600525 (Health care Medicaid/federal) | - 45,356,995 | | | Appropriation will be transferred from ODM to DODD |
| DODD | 3G6 | 322639 (Medicaid waiver/federal) | +45,356,995 | | | Appropriation will be transferred from ODM to DODD |

If the table above indicates any federal funds are to be sub-granted to lower level sub-recipients, the agency issuing the sub-grant will be responsible for communicating federal and state compliance requirements governing program funding. Such requirements include, but are not limited to, 45 CFR 92, OMB Circular A-133 and cost principles outlined within 2 CFR 220, 2 CFR 225 or 2 CFR 230 as applicable to the sub-recipient.

D. Personnel. Personnel identified for the time period specified in the table below are committed to the transfer of the TDD Waiver to DODD.

The TDD Waiver workgroup has decided to utilize a shared services model for certain business operations for the TDD Waiver. The majority of business operations will transfer to DODD, but some activities will continue to be completed by ODM staff. The chart below indicates the staffing support that ODM will provide to support DODD in its administration of the TDD Waiver. Support functions include implementing the shared services model, providing access to IT systems support and detailed data and reporting, as well as providing technical assistance and oversight.

Operating Protocol Personnel Table for: Transfer of the TDD Waiver to DODD

Time Period: 7/1/2012-6/30/2013

| Agency | Staff Person Name | Position | FTE Value | Functions Performed |
|--------|-------------------------------------|----------|-----------|--|
| ODM | Sue Fredman and Laura Leach | | | Provide Technical Assistance – assist with creation and filing of Waiver Amendments |
| ODM | Kevin Carter | | | TDD waiver claims issues |
| ODM | Bibi Manev & others as needed | | | <ol style="list-style-type: none"> 1) Process provider enrollments and maintain provider information which <u>includes the following</u>: Consumer and BCI verifications 2) Communicate to DODD new provider enrollment, suspensions, revocations, or other changes in provider status 3) Inform DODD of providers with a history of compliance concerns 4) “Act on revocations recommended by DODD. If there is a difference of opinion, OHP and DODD will work to resolve the proposed termination.” |
| ODM | Icilda Dickerson | | | Facilitate access to CareStar’s Enterprise System by CB and DODD personnel. |
| ODM | Craig Figi & other ODM fiscal staff | | | <ol style="list-style-type: none"> 1) Provide assistance with financial aspect of ODM paying claims utilizing DODD funds 2) Provide historical financial data, as needed 3) Facilitate timely direct journal to DODD for federal financial participation 4) Reissue payments upon authorization by DODD 5) Provide contact person for referrals by DODD call center personnel. |

*Ohio Health and Human Services Cabinet
PROJECT MANAGEMENT TEMPLATE*

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|------|---|--|--|---|
| | | | | |
| ODM | Bill Martin ODM IT | | | <ol style="list-style-type: none"> 1) Facilitate DODD access to necessary JFS systems (e.g. OFIS, MITS, BIAR, CRIS-E, etc) 2) On-going processing of interface file from OFIS to OAKS |
| DODD | Lori Horvath | | | <ol style="list-style-type: none"> 1) General policy and programmatic review and development 2) Waiver Amendments – provide ODM with updates when changes to the TDD waiver are proposed 3) Program Oversight – work with ODM to create and implement oversight measures |
| DODD | Lori Horvath and field consultants | | | <ol style="list-style-type: none"> 1) Level of Care 2) TDD policy questions |
| DODD | Jamie Karhoff and call center personnel | | | <ol style="list-style-type: none"> 1) Direct payment inquiries to the ODM IVR line at 1-800-686-1516 2) Offer assistance, as needed, with provider support |
| DODD | Karin Hoyt & Other Fiscal Staff | | | <ol style="list-style-type: none"> 1) Budget/financial analysis 2) Federal Schedule and other reporting related to this program 3) Authorize reissuances by JFS after stop payments 4) Review of weekly claims data out of MITS/OFIS, into OAKS. 5) Reconcile voucher detail data out of OAKS 6) Review of weekly federal revenue draw. |

| | | | | |
|------|--|--|--|--|
| DODD | Vanessa Prather & Other OPSR staff | | | <p>1) Develop protocol for ensuring compliance with waiver requirements and health and welfare standards for individuals enrolled on TDD</p> <p>2) Communicate to ODM any provider demonstrating substantial non-compliance with waiver/rule requirements and request revocation, when appropriate</p> |
| DODD | Kate Haller, Brad Singer, Becky Phillips & Others | | | <p>1) Provide general legal support</p> <p>2) Provide support for filing of rules</p> |
| DODD | Scott Phillips | | | Provide training on MUI requirements |

E. Workflow

Key workflow process transactions for the transfer of the TDD waiver to DODD are described below.

As mentioned above, the TDD workgroup decided to utilize a shared services model for some operational activities required to administer the TDD Waiver. The above chart detailed staff that will be performing those responsibilities, but this section will detail the activities and any underlying agreements between the agencies that are imperative to the successful operation of the TDD Waiver.

1. Policy: DODD will be the lead agency for policy related to the TDD Waiver. As policy lead, DODD will recommend to ODM any amendments to the waiver application and will develop/revise rules accordingly. ODM will maintain responsibility for any TDD waiver amendment submission to CMS.
2. IT Systems: ODM will facilitate access to CareStar’s Enterprise system, upon request, by DODD and County Board personnel. Payment for access to Enterprise by DODD and CB personnel will be made through the existing contract between CareStar and ODM if appropriate. It will otherwise be made to Carestar through a DODD contractual arrangement. In addition, ODM will grant necessary access to other ODM systems by DODD personnel as identified in the data sharing table below.
3. Provider Enrollment: Since the provider enrollment process for TDD providers and Ohio Home Care Waiver providers is the same, we will utilize shared services to maximize efficiency. ODM staff will continue to process TDD provider enrollments, but will keep DODD informed as they receive requests for new providers.

DODD will facilitate the provider enrollment process by completing the initial 2 steps of the application process for providers requesting to serve individuals enrolled in TDD, with the exception of waiver nursing providers and agencies applying to provide personal care aide. ODM will continue to complete all steps of the application process for providers seeking approval to provide waiver nursing services and agencies applying to provide personal care aide. (Added 2/19/13)

ODM will continue to send notice to independent providers approximately 60 days in advance of the date on which their annual BCI checks are due. ODM will issue proposed adjudication orders to providers who fail to comply with this requirement by the due date. A list of providers receiving notice of proposed adjudication orders will be sent to DODD. DODD will determine, based upon claims data, which providers are serving individuals enrolled in TDD and will send a list of these providers to county boards of developmental disabilities. County board personnel will inform individuals of the potential need to seek another provider, in the event a BCI check is not received by ODM within the next 30 days. Providers may continue to serve individuals until a final adjudication order is issued. ODM will notify providers when a final adjudication order has been issued and will send a list of these providers to DODD. DODD will send a list to county boards of all providers serving individuals enrolled in TDD who were included in the final adjudication order and whose Medicaid Agreements for TDD have been terminated. County boards will immediately remove providers from service plans upon receiving notice of termination of their Medicaid Agreements for TDD. (Added 5/9/13)

4. Provider Compliance: Since DODD will assume responsibility for provider oversight, DODD will report to ODM any provider demonstrating substantial non-compliance with the requirements of the waiver or corresponding rules. ODM, upon recommendation from DODD, will terminate the Medicaid agreement with any provider whose lack of compliance presents an adverse impact to the health and welfare of individuals receiving TDD waiver supports.

5. Adverse Outcomes: ODM will not require a plan of correction or response to Adverse Outcomes discovered as part of the targeted review for individuals enrolled in the TDD waiver. However, the following activities will be performed and issues raised in cases submitted by the AO Committee will be considered in the implementation of those activities:
 - SSAs will develop service plans, submit proposed budgets and perform all monitoring activities to ensure individuals are receiving necessary services.
 - As county boards of DD and DODD become more familiar with the needs of individuals served, modifications may be made to the service package at a later date.
 - Current ASPs will be reviewed at their designated annual review dates, unless the individual experiences a change in status that requires the plan to be updated sooner.

6. Provider support:

Providers may contact DODD or ODM with claims inquiries or requests for support. DODD will refer providers to the ODM designee for claims inquiries. ODM/DODD will respond to provider inquiries/requests within 5 business days.

7. Level of Care (LOC): CareStar will continue to perform level of care redeterminations annually, and upon significant changes of status, for all TDD enrollees. DODD will enter into a separate contract with CareStar for oversight and payment of this function. Contract expired 12/31/13 (Added 3/3/14)

8. Claims: TDD providers will continue to submit claims directly to ODM through MITS. Effective July 1, 2012, payments by ODM will be made from funds transferred to DODD for administration of the TDD Waiver.

ODM will keep DODD informed of any issues with claims payments as soon as they become aware of the problem. If a cost overrun occurs during FY13, the agencies participating in the Project Team will come together and meet to decide how to address the overrun. The meeting shall include ODM, DODD and OBM.

9. Provider Inquiries, Requests for stop payment, warrant re-issue, etc

From 7/1/12-12/31/12: Any requests to reissue TDD provider payments will be received and processed by designated ODM staff. ODM and DODD fiscal staff will work together in issuing a new single payment voucher for such requests. ODM fiscal staff will provide copies of original vouchers and supporting documentation which includes the following: provider name/ID, original OAKS voucher ID, claim amount, original date of claim, confirmation from TOS on stopped payment, other necessary information as determined by DODD and ODM staff.

DODD will issue vouchers out of DMR01 until such a time that a new business unit (JFS11) is established. The new business unit will allow DODD staff to issue vouchers for stop payments, warrants, etc. as needed.

From 1/1/13, forward: DODD and ODM staff will work collectively in determining how to address provider inquiries, requests for stop payment, warrant re-issues, etc. for the period beginning 1/1/13. The Operating Protocol will be updated with an agreed upon process no later than December 3, 2012.

10. Negative vouchers: DODD and ODM will work collaboratively to establish a process whereby negative voucher lines within a voucher header will be accounted for appropriately. This Operating Protocol will be updated to reflect this agreed upon process by **XX**. Until this time, ODM will continue to identify 'negative vouchers,' DODD staff will delete them from OAKS as requested, and all federal funds offset by this process will be drawn in the

subsequent federal draw. (Note: The credit balance process replaces negative vouchers language.)

11. Credit balance process: ODM shall determine if during the weekly TDD waiver payment process if a provider has a negative amount in either the JFS07 or JFS10 Business Units to be sent to OAKS. The negative amount will be reassigned to the business unit with a positive amount prior to sending to OAKS in order for the provider to be reimbursed appropriately. The amounts reassigned under this process will be monitored and the balance periodically reviewed to determine if a fund transfer is needed to properly balance both Business Units as determined by ODM and DODD (Added 12/14/12).
12. Budget & Financial Monitoring/Reporting: DODD will be responsible for monitoring the budget and finances of the TDD waiver. ODM will provide support with access to reporting information on utilization and claims payments, when historical information is needed for trend analysis, etc.
13. State hearings: If a decision resulting in a hearing request is made prior to December 31, 2012, then the hearing will be heard by the Department of Medicaid or its designee at the time of the decision. Decisions made after 1/1/13 which result in a hearing request shall be heard by DODD or its designee. (Added 12/14/12).
14. Performance Measures: Because the TDD waiver recently began as a DODD waiver on 1/1/2013, both ODM and DODD will have the responsibility for calculating the SFY 2013 TDD performance measures. For the calculation/submission of PM's, ODM will be responsible for calculating Qtr. 3 and Qtr. 4, 2012 when TDD was a ODM waiver program. And, DODD will assume responsibility for calculating Qtr. 1 and Qtr. 2, 2013 as a DODD waiver program. As a result, ODM will not expect any data from DODD until this reporting period. (Added 3/4/13)
15. State Plan Authorization: The intent of this section is to specify that the Ohio Department of Developmental Disabilities (DODD) and/or county boards of developmental disabilities will act on behalf of the Ohio Department of Medicaid (ODM) for the purpose of prior authorizing state plan (non-waiver) private duty nursing (PDN) services for individuals enrolled in the Transitions DD Waiver. As such, the PDN request process identified in 5160-12-02 (F)(4)(b) and (G)(5)(b) is not required. The amount, scope, and duration of Medicaid state plan and private duty nursing services determined to be medically necessary in accordance with OAC 5160-1-01 will be incorporated in waiver service plans by the service and support administrator.

The following processes will be used to establish medical necessity:

- The amount, scope and duration of private duty nursing services incorporated in service plans will be determined through a face-to-face assessment by the local county board of developmental disabilities of the individual's nursing needs, alternative resources

available to meet those needs, and certification by the individual’s treating physician. The face-to-face assessment shall be conducted by the local county board of developmental disabilities using the tools agreed upon by DODD and ODM.

- The amount, scope and duration of Medicaid state plan home health and private duty nursing services must be reviewed at least every 12 months or whenever the individual experiences a significant change as defined in paragraph (B)(16) of rule 5123:2-9-50 of the Administrative Code. (Added 4/2/14)

F. Data Sharing

1. Data sources and elements to be shared for the transfer of the TDD Waiver to DODD for the time period specified are shown in the table below.

To maximize investments that have already been expended, DODD will utilize the current CareStar Enterprise system for recording results of level of care redeterminations and documenting Freedom of Choice of individuals to access HCBS or institutional services. The Enterprise system will also generate reports, as identified in the TDD waiver amendment.

ODM will provide DODD staff with access to any system that is used to process, capture or analyze data for individuals receiving services through the TDD waiver. This access includes, but is not limited to, the systems and information listed in the chart below.

Operating Protocols Data Sharing Table for: Transfer of the TDD Waiver to DODD

Time Period: 7/1/2012-6/30/2013

| Agency | Data Source | Description of Data Elements | Is Data Protected Health Information? | Description of Data Sharing Procedures |
|--------|-------------|---|---------------------------------------|--|
| ODM | MITS | Ability to view remittance advices, ability to determine if payment was through check, eft or ISTV, ability to run reports to view data for multiple providers at one time, ability to view and report on rates, and other provider information, etc. | | ODM will provide DODD staff with appropriate MITS and MITS-subsystem access through the online application |
| ODM | MITS | Ability to access eligibility, enrollment and utilization data and reports for individuals enrolled in | | ODM will provide DODD staff with appropriate MITS and MITS-subsystem access |

*Ohio Health and Human Services Cabinet
PROJECT MANAGEMENT TEMPLATE*

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| | | TDD. | | through the online application |
| ODM | MITS | Ability to enter funding ranges for individuals enrolled in the TDD waiver | | ODM will provide DODD staff with appropriate MITS access. |
| ODM | OFIS | Ongoing processing of interface payment files from OFIS to OAKS | | ODM will provide DODD staff with appropriate OFIS access in order to complete fund coding on a weekly basis. |
| ODM | | Access to/review of file generated for federal draws for TDD claims (used to confirm draw amounts requested to federal government by ODM). | | ODM will provide DODD fiscal with revenue files (e.g. CAPIS report) any time there is a federal draw affecting a DODD fund (e.g. 3G60) for TDD. |
| ODM | CRISe | Ability to update LOC dates | | ODM will provide DODD staff with appropriate CRISe access |
| ODM | CRISe | Ability to view individual eligibility and enrollment data | | ODM will provide DODD staff with appropriate CRISe access |
| ODM | CRISe | Ability to enter funding levels for individuals enrolled on TDD | | ODM will provide DODD staff with appropriate CRISe access. |
| ODM | CRISe | Ability to receive alerts for TDD enrollees with MBIWD or patient liability assignments | | ODM will provide DODD staff with appropriate CRISe access. |
| ODM | DSS, BIAR and other relevant data systems | All reporting functionality related to individuals enrolled on the TDD Waiver. Including : any data from CRISe including identifying information: name, ssn, dob, address, county of origin; guardian information including name, address, date of guardianship, etc.; eligibility information including type of Medicaid coverage (MBIWD, etc.), dates, base financial information, expected patient liability, level of care date, diagnosis, service utilization, related expenditure data, | | ODM will provide DODD staff with the appropriate DSS access |

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| | | etc. | | |
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2. If a participating agency reasonably determines that its protected health information shared with another agency has been maintained, used or disclosed in violation of state or federal law, the agency may cease sharing access to the information until the matter is satisfactorily resolved among the agencies and the Governor's Office of Health Transformation.