APPENDIX K: Emergency Preparedness and Response and COVID-19 Addendum

Background:

This standalone appendix may be utilized by the state during emergency situations to request amendments to its approved waiver, to multiple approved waivers in the state, and/or to all approved waivers in the state. It includes actions that states can take under the existing Section 1915(c) home and community-based waiver authority in order to respond to an emergency. Other activities may require the use of various other authorities such as the Section 1115 demonstrations or the Section 1135 authorities.¹ This appendix may be applied retroactively as needed by the state. Public notice requirements normally applicable under 1915(c) do not apply to information contained in this Appendix.

	Appendix K-1: General Information								
Ger A.	neral Information: State:_North Dakota								
В.	Waiver Title(s):	Medically Fragile Children							
C.	Control Number(s): ND.0568.R02.03								

D. Type of Emergency (The state may check more than one box):

X	Pandemic or Epidemic
0	Natural Disaster
0	National Security Emergency
0	Environmental
0	Other (specify):

E. Brief Description of Emergency. *In no more than one paragraph each*, briefly describe the: 1) nature of emergency; 2) number of individuals affected and the state's mechanism to identify individuals at risk; 3) roles of state, local and other entities involved in approved waiver operations; and 4) expected changes needed to service delivery methods, if applicable. The state should provide this information for each emergency checked if those emergencies affect different geographic areas and require different changes to the waiver.

COVID-19 pandemic. This amendment will apply waiver-wide for each waiver included in this Appendix, to all individuals impacted by the virus or the response to the virus (e.g. closure of day programs, etc.).

F. Proposed Effective Date: Start Date: March 1, 2020 Anticipated End Date: Aug. 31, 202	<u>20</u>
G. Description of Transition Plan.	
All activities will take place in response to the impact of COVID-19 as efficiently at effectively as possible based upon the complexity of the change.	nd
H. Geographic Areas Affected:	
These actions will apply across the waiver to all individuals impacted by the COVID-19 virus.	
I. Description of State Disaster Plan (if available) Reference to external documents is acceptable:	
N/A	
Appendix K-2: Temporary or Emergency-Specific Amendment to Approve Waiver	d
Temporary or Emergency-Specific Amendment to Approved Waiver:	
These are changes that, while directly related to the state's response to an emergency situation require amendment to the approved waiver document. These changes are time limited and to specifically to individuals impacted by the emergency. Permanent or long-ranging changes in need to be incorporated into the main appendices of the waiver, via an amendment request in waiver management system (WMS) upon advice from CMS.	tied will
a Access and Eligibility:	
i Temporarily increase the cost limits for entry into the waiver. [Provide explanation of changes and specify the temporary cost limit.]	
ii Temporarily modify additional targeting criteria. [Explanation of changes]	
bX Services	

i.___ Temporarily modify service scope or coverage. [Complete Section A- Services to be Added/Modified During an Emergency.]

ii. _X_Temporarily exceed service limitations (including limits on sets of services as described in Appendix C-4) or requirements for amount, duration, and prior authorization to address health and welfare issues presented by the emergency. [Explanation of changes]

State Medicaid agency may approve an increase of In-Home Support hours on the service plan - these could be increased by a verbal approval from the State. The Case Manager would be responsible to get verbal approval from State Medicaid agency, followed by a confirming email and update the service plan within 30 days from the date the service was initiated.

iii. ___Temporarily add services to the waiver to address the emergency situation (for example, emergency counseling; heightened case management to address emergency needs; emergency medical supplies and equipment; individually directed goods and services; ancillary services to establish temporary residences for dislocated waiver enrollees; necessary technology; emergency evacuation transportation outside of the scope of non-emergency transportation or transportation already provided through the waiver).

[Complete Section A-Services to be Added/Modified During an Emergency]

iv. __X_Temporarily expand setting(s) where services may be provided (e.g. hotels, shelters, schools, churches). Note for respite services only, the state should indicate any facility-based settings and indicate whether room and board is included:

[Explanation of modification, and advisement if room and board is included in the respite rate]:

If it is best for the individual to be relocated to a non-infected environment, then In-Home support would be available to the individual within the temporary new environment. Case Manager would obtain verbal approval, from the State with confirmation email to follow, of change of service location and update service plan within 30 days from the date the service was initiated.

Respite may be provided in a facility- based setting but would exclude room and board.

v.__X_ Temporarily provide services in out of state settings (if not already permitted in the state's approved waiver). [Explanation of changes]

State Medicaid Agency may grant approval for out of state In-Home Support if family is temporarily relocated out of state during the emergency. Case Manager would be responsible to receive verbal approval from State Medicaid Agency followed by email confirmation and update the service plan within 30 days from the date the service was initiated.

Temporary out of state providers of In-Home Support service would be required to enroll with ND contracted fiscal agent.

Temporarily modify provider qualifications (for example, expand provider pool, orarily modify or suspend licensure and certification requirements).
X Temporarily modify provider qualifications.
[Provide explanation of changes, list each service affected, list the provider type, and the changes in provider qualifications.]
Allow relatives of waiver beneficiaries who reside in the home and out of the home to provide services prior to background check and training for 90 days. It is understood that the background check will be submitted by the agency within 30 days after the service begins and training will occur within 90 days of hire without leaving the beneficiary without necessary care.
The state is modifying provider standards for relatives to qualify as a direct worker while his/her background check and pre-employment screenings are in pending status. This allowance will be applied to participant-directed service (PDS) arrangements. Further, should a pending screening come back demonstrating concerns with the background check and/or pre-employment screening that would not allow the worker to continue employment long term that worker continues to be qualified until an alternative employee is identified unless the worker poses an immediate jeopardy to health, safety, and/or welfare of the participant (i.e. has tested positive for infectious disease) or is found to be guilty of past abuse, neglect, exploitation or violent felony and therefore is immediately unqualified.
Suspend training requirements for immediate family members and/or legal representatives providing services to waiver participants. As defined by the IRS, "immediate family member" includes a spouse, child, parent, grandparent, brother, sister, grandchild, stepparent, stepchild, stepbrother or stepsister of the participant.

iii. Temporarily modify licensure or other requirements for settings where waiver services are furnished.

[Provide explanation of changes, description of facilities to be utilized and list each service provided in each facility utilized.]

	Temporarily modify processes for level of care evaluations or re-evaluations (within latory requirements). [Describe]
f	Temporarily increase payment rates. [Provide an explanation for the increase. List the provider types, rates by service, and specify whether this change is based on a rate development method that is different from the current approved waiver (and if different, specify and explain the rate development method). If the rate varies by provider, list the rate by service and by provider.]

 $g._X_$ Temporarily modify person-centered service plan development process and individual(s) responsible for person-centered service plan development, including qualifications.

[Describe any modifications including qualifications of individuals responsible for service plan development, and address Participant Safeguards. Also include strategies to ensure that services are received as authorized.]

Case managers may complete the person-centered service planning process using telephonic, videoconferencing, or web-based conferencing platforms that enable direct communication between the case manager and participant / participant's representative, in accordance with HIPAA requirements.

Person-Centered Service Plans (PCSP) that are due to expire within the next 60 days require case management contact to the participant using allowable remote contact methods to verify with the participant or representative that the current PCSP assessment and service, including providers, remain acceptable and approvable for the upcoming year. The state will verify by obtaining electronic signatures from service providers and the individual or representative, in accordance with the state's HIPAA requirements.

As requested, and/or necessary, modifications to the person-centered plan may be made, as driven by individualized participant's need, circumstance, consent, and reviewed on an individualized basis, without the input of the entire person-centered service team.

The Department will temporarily allow changes to be modified primarily by the case manager and participant/participant's representative — with signature from the provider to deliver modified services as documented in the updated plan. Physical signature to the plan can be obtained from third parties using remote transmission methods. The case manager may share forms requiring signature and receive documented signature consenting to a modified plan using fax or by sharing scanned documents via secured email. Consent may also be provided electronically via email. Electronic signature is also acceptable during the emergency period planning and development of modified person-centered service plans may be conducted using remote contact methods, in keeping with all other allowances for case management activities during the emergency period.

The state will ensure the person-centered service plan is modified to allow for additional supports and or services to respond to the COVID 19 pandemic. The specificity of such services including amount, duration and scope will be appended as soon as possible to ensure that the specific service is delineated accordingly to the date it began to be received. The PCSP will be updated no later than 30 days from the date the service was initiated.

h T	emporarily modify incident reporting requirements, medication management or other
particip	pant safeguards to ensure individual health and welfare, and to account for emergency
circums	stances. [Explanation of changes]

i Temporarily allow for payment for services for the purpose of supporting waiver participants in an acute care hospital or short-term institutional stay when necessary supports (including communication and intensive personal care) are not available in that setting, or when the individual requires those services for communication and behavioral stabilization, and such services are not covered in such settings. [Specify the services.]
j Temporarily include retainer payments to address emergency related issues. [Describe the circumstances under which such payments are authorized and applicable limits on their duration.
Retainer payments are available for habilitation and personal care only.]
k Temporarily institute or expand opportunities for self-direction. [Provide an overview and any expansion of self-direction opportunities including a list of services that may be self-directed and an overview of participant safeguards.]
l Increase Factor C. [Explain the reason for the increase and list the current approved Factor C as well as the proposed revised Factor C]
m Other Changes Necessary [For example, any changes to billing processes, use of contracted entities or any other changes needed by the State to address imminent needs of individuals in the waiver program]. [Explanation of changes]

Appendix K Addendum: COVID-19 Pandemic Response

1. HCBS Regulations

		individuals are able to have visitors of their choosing at any time, for settings added after March 17, 2014, to minimize the spread of infection during the COVID-19 pandemic.
2.	Servic a.	 Add an electronic method of service delivery (e.g., telephonic) allowing services to continue to be provided remotely in the home setting for: ∴ Case management □ Personal care services that only require verbal cueing ⋈ In-home habilitation ⋈ Monthly monitoring (i.e., in order to meet the reasonable indication of need for services requirement in 1915(c) waivers). v. □ Other [Describe]:
3.	Confli by aut manag	□ Add home-delivered meals □ Add medical supplies, equipment and appliances (over and above that which is in the state plan) □ Add Assistive Technology **Cet of Interest: The state is responding to the COVID-19 pandemic personnel crisis chorizing case management entities to provide direct services. Therefore, the case gement entity qualifies under 42 CFR 441.301(c)(1)(vi) as the only willing and ited entity. □ Current safeguards authorized in the approved waiver will apply to these entities. □ Additional safeguards listed below will apply to these entities.
4.	a. b. c.	der Qualifications ☐ Allow spouses and parents of minor children to provide personal care services ☑ Allow a family member to be paid to render services to an individual. ☐ Allow other practitioners in lieu of approved providers within the waiver. [Indicate the providers and their qualifications] ☐ Modify service providers for home-delivered meals to allow for additional providers,
5.	Proces	including non-traditional providers. sses

a. $\ \ \, \boxtimes \,$ Not comply with the HCBS settings requirement at 42 CFR 441.301(c)(4)(vi)(D) that

- a.

 Allow an extension for reassessments and reevaluations for up to one year past the due date.
- b. \boxtimes Allow the option to conduct evaluations, assessments, and person-centered service planning meetings virtually/remotely in lieu of face-to-face meetings.
- c. \(\subseteq \) Adjust prior approval/authorization elements approved in waiver.
- d.

 Adjust assessment requirements
- e.

 Add an electronic method of signing off on required documents such as the personcentered service plan.

Contact Person(s)

A. The Medicaid agency representative with whom CMS should communicate regarding the request:

First Name: Katherine **Last Name** Barchenger

Title: State Autism Coordinator

Agency: Department of Human Services - Medical Services Division

Address 1: 600 East Boulevard Ave Dept 325 **Address 2:** Click or tap here to enter text.

City Bismarck
State North Dakota
Zip Code 58505-0250
Telephone: 701-328-4630

E-mail kbarchenger@nd.gov

Fax Number 701-328-1544

B. If applicable, the State operating agency representative with whom CMS should communicate regarding the waiver is:

First Name: Click or tap here to enter text. **Last Name** Click or tap here to enter text. Title: Click or tap here to enter text. Agency: Click or tap here to enter text. Address 1: Click or tap here to enter text. Address 2: Click or tap here to enter text. City Click or tap here to enter text. State Click or tap here to enter text. **Zip Code** Click or tap here to enter text. **Telephone:** Click or tap here to enter text. E-mail Click or tap here to enter text. Fax Number Click or tap here to enter text.

8. Authorizing Signature

Signature:	Date: 3/28/2020
/S/	

State Medicaid Director or Designee

First Name: Caprice Last Name Knapp

Title: Director of Medical Services

Agency: Department of Human Services – Medical Service Division

Address 1: 600 East Boulevard Ave Dept 325
Address 2: Click or tap here to enter text.

City Bismarck
State North Dakota
Zip Code 58505-0250
Telephone: 701-328-1603
E-mail cknapp@nd.gov
Fax Number 701-328-1544

Section A---Services to be Added/Modified During an Emergency

Complete for each service added during a time of emergency. For services in the approved waiver that the state is temporarily modifying, enter the entire service definition and highlight the change. State laws, regulations and policies referenced in the specification should be readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Specification										
Service Title:	In-Home Support									
Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select										
one:										
Service Definition (Scope):										
In-Home Supports (IHS) enables a child who has a serious chronic medical condition to remain in and be supported in-their family home and community. IHS is intended to support both the eligible child and the rest of the family to live as much like other families as possible with the intent of preventing or delaying unwanted out of home placement. The eligible child must be living with a-legally-responsible caregiver. IHS benefits the eligible child by supporting their primary caregiver in meeting their unique medical needs. The primary care giver is supported in meeting the needs of their child within the routines of their family home and community: a)Training as identified in the Case Plan; b)Physical or verbal assistance to complete activities such as eating, drinking, toileting and physical functioning; improving and maintaining mobility and physical functioning; maintaining health and personal safety; carrying out household chores and preparation of snacks and meals; communicating, including use of assistive technology; learning to make choices, to show preference, and to have opportunities for satisfying those interests; developing and maintaining personal relationships; pursuing interests and enhancing competencies in play, pastimes and avocation; c)Involvement in family routines and participation in community experiences and activities. The eligible client will be supported in the home by staff hired by the family excluding legally responsible persons or individuals living in the same home as the consumer. The eligible client may also be supported in the home of the staff member hired by the family if the staff members home meet foster care licensure standards. This will not be a foster care placement, only the foster care standards will be used to assure health and safety welfare. Co-employers would be the family and an agency hiring the individual to work for family. Minimum requirements for a non-licensed provider would be 1) pass criminal background check, 2) over the age of 18, 3) not living in the										
Specify applicable ((if any) limits on the	amount, frequency, o	or duration	of this service:						
		D .1 G .C. '.								
Provider		Provider Specificational. List types: x		y. List the types of agencies:						
Category(s)	Individual									
(check one or both):										
Specify whether the be provided by (che applies):	•	Legally Responsible Person	X	Relative/Legal Guardian						
Provider Qualifica	Provider Qualifications (provide the following information for each type of provider):									
Provider Type: License (specify) Certificate (specify) (specify) Other Standard (specify)										

Individual/Agency						The Family Support Services provides who are co-employers must be licental as required in NDAC 75-04-01. (Comployers would be family and age both hiring the individual to work for family) through the state of North Dakota and must pass background corequirements as identified by the state Providers of services must also meet criteria identified in the participant's service plan.			must be licensed 75-04-01. (Commily and agency ual to work for the of North background check fied by the state.
Verification of Provider (Qualif	ications	3					
Provider Type:		Entity Responsible for Verificat			tion:	Freq	uency	of Verification	
Co-employee		Department of Human Services, Developmental Disabilities Unit			Annually				
			So	ervice Deliv	ery Meth	nod			
Service Delivery Metho (check each that applies)		X	Particip	oant-directed	as specifie	d in Append	dix E		Provider managed

Service Specification								
Service Title: Program Manager or Case Management								
Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:								
This service would them. Case manage on-going monitoring planning for and in would assure that is promoting reasonal identifying multiples services. This services. This service individual/family at the goals of the far include the assurant for individuals require face to face we satisfaction with services. Case management service planning. Case management service planning. Case management service planning. Case management service planning. Case management services as needed.	Service Definition (Scope): This service would assist the individual /family by providing information, referral, and support to them. Case management services would provide a variety of activities such as intake, case planning, on-going monitoring and review of supports and services to promote quality and outcomes, and planning for and implementing changes in supports and services and right of appeal. This service would assure that support for individual/family requests fall within the scope of programs, while promoting reasonable health and safety. Case management services would assist in the coordination of identifying multiple services both formal and informal, along with obtaining/ applying for identified services. This service would ensure goals and needs are being met by meeting with the individual/family at least quarterly to review case plan and assure supports are successful in reaching the goals of the family. Case management service would ensure the review of rights are signed to include the assurance of family being informed of their rights and to document the choice of services for individuals requesting a HCBS waiver verses Institutional care. Case management services would meet face to face with individual/family at least quarterly; this would include 1) review of progress 2) satisfaction with services, 3) identify barriers and 4) discuss an action plan to resolve outstanding issues. Case management services may consist of phone calls or accompanying consumer to supports agency assisting with completing paperwork and any other assistance identified in case plan. Case management service would be able to assist in crisis intervention services to include emergency planning. Case management would also provide emotional support and assistance to problem solving as needed. Case Management could also assist / participate in individual educational planning (IEP) process. Case Management would support/ educate families on the Self-Directed Supports program. Specify applicable (if any) limits on the amou							
			Provider Specific	catic	ons			
Provider	x]	Individua	l. List types:	X	Ag	ency	y. List the types of agencies:	
Category(s)	Individua	ıl		Case management				
(check one or both):								
00111)•								
Specify whether the service may be provided by (check each that applies): Legally Responsible Person						X	Relative/Legal Guardian	
Provider Qualific	ations (pro	vide the f	ollowing information	tion	for ea	ch t	ype of provider):	
Provider Type: License (specify) Certificate (specify)				Other Standard (specify)				

Agency	Holds a bachelor's degree in any of the following: social work, psychology, nursing, occupational therapy, physical therapy, child development and family communication disorders, severely multiply handicapped, special education, vocational rehabilitation, sociology, elementary education, recreational therapy or human resources and administration and	Must have personal licensures up to date. Must be able to enroll as a Medicaid provider. Must have a criminal background check completed.

Agency

bachelor's degree in social work, psychology, nursing, occupational therapy, physical therapy, child development and family communication disorders, severely multiply handicapped, special education, vocational rehabilitation. sociology, elementary education, recreation therapy, or human resources administration and management. A master's degree in counseling or a doctorate in medicine will also meet requirements.

A Qualified Mental Retardation Professional (QMRP) A person who has as least one year of direct care experience working with persons with a mental illness or developmental disability; is a doctor of medicine or has a bachelor's or master's degree in one of the following fields: social work, psychology, nursing, occupational therapy, physical therapy, child development and family communication disorders, severely multiply handicapped, special education, vocational rehabilitation, sociology, elementary education, recreation therapy, or human resources administration and management. A master's degree in counseling or a doctorate in medicine will also

meet

Requires knowledge, skills and abilities generally acquired and developed through formal education resulting in an undergraduate degree, extensive training, and /or relevant experience in work of an equivalent type and complexity. A moderately high degree of interpersonal skill is required to be able to communicate with and motivate others in the satisfactory performance of duties and responsibilities. The Ability to access the program ASSIST and to navigate said program. Ability to have contract with the fiscal agent for the spend down budget. Must have the ability to travel to the family's home throughout the state, as needed but at least quarterly. Must not have a conflict of interest in providing services to this population. Must be able to provide these services to the family at the same or less than rate.

		requirements.					
		Show knowledge					
		and understanding					
		of Self-Directed					
		Support program.					
Individual	Holds a bachelor's			ve strong communication skills.			
	degree in any of		Must hav	ve personal licensures up to date.			
	the following: social work,			able to enroll as a Medicaid			
	psychology,		provider.				
	nursing,			ve a criminal background check			
	occupational		complete	ed.			
	therapy, physical						
	therapy, child						
	development and						
	family						
	communication						
	disorders, severely						
	multiply						
	handicapped,						
	special education,						
	vocational						
	rehabilitation,						
	sociology,						
	elementary						
	education,						
	recreational						
	therapy or human						
	resources and						
	administration and						
	management. Or						
	-						
	Holds a master's						
	degree counseling						
	or doctorate in						
Verification of Provider Qualifications							
	medicine ovider Qualification	1s					
Provider Type:	ovider Qualification	ns sponsible for Verifica	tion:	Frequency of Verification			

Agency	Upon making application to the position of	Case Managers are subject to		
rigency	Case Manager the Human Resource	annual review of job		
	Management Services a Division of the	performances and continued		
	Office of Management and Budget, reviews	ability to meet qualifications		
	and verifies the qualifications listed on the application. Those individuals that meet the	for position. This review is completed by Program		
	requirements are then forwarded onto the	Administrator and is kept in		
	interviewing team. Upon selection of	the Case Manager's personnel		
	appropriate individual: references are	file.		
	checked, if criminal history check is needed this is also completed.	NDAC Chapter 4-07-10 covers the requirements for		
		performance management and evaluations.		
		4-07-10-04: Each agency,		
		department, and institution shall use the criteria in one or		
		the other of the following		
		performance management		
		program types:		
		1. Individual-based performance.		
		a. Performance reviews are		
		conducted at least annually.		
		b. Performance reviews are based on individual job-related requirements.		
		c. A standard form or approach is used.		
		d. Performance standards, or goals and objectives are used.		
		e. The review includes a review of past performance.		
		f. The review includes a		
		discussion of how performance may be improved or how an employee's skills may be		
		developed.		
		2. Team-based performance. a. Performance reviews are		
		conducted at least annually.		
		b. Performance reviews are		

based on overall team performance and how the

			team. c. The eprogram quality constant and proprevent eliminad. The puidance	empha of a sattly im occessed ing proting ti prograte for g, and	am provides the education, self-improvement	
Individual	Central Office Program Manager			yearly		
		Service Delivery Method				
Service Delivery Method (check each that applies):		Participant-directed as specified in Appendix E			Provider managed	

i Numerous changes that the state may want to make may necessitate authority outside of the scope of section 1915(c) authority. States interested in changes to administrative claiming or changes that require section 1115 or section 1135 authority should engage CMS in a discussion as soon as possible. Some examples may include: (a) changes to administrative activities, such as the establishment of a hotline; or (b) suspension of general Medicaid rules that are not addressed under section 1915(c) such as payment rules or eligibility rules or suspension of provisions of section 1902(a) to which 1915(c) is typically bound.