

Children's HCBS/LOC Eligibility Determination Guidance for Un-Finalized UAS Outcomes

It has come to the attention of the NYS Department of Health (DOH) Capacity Management Team that a number of Children's Waiver Home and Community Based Services (HCBS) Level of Care (LOC) Eligibility Determination assessments have un-signed/finalized Outcomes Finalization¹ in the UAS-NY. The following guidance is to address this issue by reconciling un-signed Outcomes and establishing practices to prevent future occurrences.

REQUIREMENT:

The Health Home Care Manager (HHCM), Children and Youth Evaluation Services (C-YES), or OPWDD DDRO is required to sign/finalize the HCBS/LOC Outcomes Finalization within the UAS to trigger one-year of HCBS eligibility for children/youth who are determined HCBS eligible. HCBS/LOC ineligible assessments must also have the Outcomes Finalization signed/finalized, as this action is the trigger for the HCBS Notice of Decision to be sent to the child/family.

Once the UAS Outcomes Finalization is signed/finalized, this information is automatically sent to NYS DOH Capacity Management so that the proper eligibility R/RE K-code can be entered on the child/youth's file. These R/RE K-codes let Health Homes, Managed Care Plans, and HCBS providers know the child/youth is HCBS eligible. Additionally, this K-code allows the HCBS providers to submit a billing claim for HCBS provided to the child/youth and obtain payment.

The date the UAS Outcomes Finalization is signed/finalized is the start date of the R/RE K-code for HCBS enrollment and billing, as well as the start date of the one-year of HCBS eligibility within the Children's Waiver. If an HCBS/LOC Outcomes Finalization is not signed when completing the HCBS/LOC determination, the R/RE K-code might not match the date of eligibility and service. Additionally, the UAS locks the assessment after six (6) months from the creation date, and it cannot be unlocked or finalized.

RECONCILIATION:

Reading the attached "Signing the HCBS/LOC Determination Assessment" reference document is necessary to understand the date that will be utilized for R/RE K-codes and the annual HCBS/LOC redetermination.

Effective per this guidance, each Health Home Care Management Agency (HHCMA) within the Health Home Serving Children (HHSC) network must conduct an aggregate report search (as outlined in the attached "***Running Aggregate Reports- Brief***") to determine those UAS HCBS/LOC assessments in which the Outcomes Finalization was not signed and the child/youth was found HCBS eligible.

The HHCMA **MUST** complete the **HCBS/LOC Outcomes Not Signed Tracker** spreadsheet to be sent to the lead Health Home no later than **Tuesday October 27, 2020**, for all children/youth

¹ Outcomes Finalization picture can be found in Appendix A



who meet the following criteria:

- Received an HCBS/LOC assessment
- Found eligible for HCBS,
- UAS Outcomes Finalized not signed,
- Child/family choose to be enrolled in HCBS and in the receipt of services

Required Steps for Un-Signed Outcome Finalization

Assessments less than 6 months

1. All assessments less than six (6) months old, the Outcomes need to be signed and finalized immediately.
2. The date of the HCBS/LOC assessment determination (outlined in **“Signing the HCBS/LOC Determination Assessment” step 1**) is imperative to include on the **HCBS/LOC Outcomes Not Signed Tracker**, as this will be the effective date of the R/RE K-codes that will be verified by NYS DOH Capacity Management (NYS DOH will back-date K-codes as needed for the HCBS provider).
3. Once the UAS Outcomes Finalization is signed and finalized, the date of the Outcomes Finalization will be the date from which the annual HCBS/LOC re-assessment will be determined (note: the member may now have more than a year of HCBS eligibility).

Assessments 6 months and over

1. If the member is enrolled and is in receipt of HCBS, then the member’s information needs to be included on the **HCBS/LOC Outcomes Not Signed Tracker** as this HCBS/LOC is now locked and cannot be changed.
2. The date of the HCBS/LOC assessment determination (**“Signing the HCBS/LOC Determination Assessment” step 1**) is imperative to include on the **HCBS/LOC Outcomes Not Signed Tracker**, as this will be the effective date of the R/RE K-codes that will be verified by NYS DOH Capacity Management (NYS DOH will back-date K-codes as needed for the HCBS provider).
3. In addition, the date of the HCBS/LOC assessment determination will also be the date from which the annual HCBS/LOC re-assessment will be determined.

HHSCs are to report to NYS DOH Capacity Management no later than **Friday, October 30, 2020** all HCBS/LOC for children/youth who were found eligible but the UAS HCBS/LOC Outcomes Finalization **was not** completed (signed/finalized), **AND** the child/family choose to be HCBS enrolled and in the receipt of HCBS. The HHSC will report this information for all their Care Management Agencies on the attached **HCBS/LOC Outcomes Not Signed Tracker** spreadsheet, using one tracker per Health Home. The HHSC will send the **HCBS/LOC Outcomes Not Signed Tracker** to NYS DOH Capacity Management through HCS Secure File Transfer with the subject: HCBS/LOC Outcomes Finalization Tracker.



Based upon this information, NYS DOH Capacity Management Team will verify that these identified children/youth who are eligible and have chosen to be HCBS enrolled and in receipt of HCBS have the proper R/RE K-codes and the appropriate K-code date according to the **HCBS/LOC Outcomes Not Signed Tracker**. Each child/youth will have one-year of HCBS eligibility with appropriate K-codes from the appropriate date, based on the action taken as outlined above.

MAINTENANCE:

Effective immediately, all HHCM Supervisors will be required to run a bi-weekly aggregate report² to ensure all HCBS/LOC Outcomes Finalization are signed and finalized in the UAS. HCBS/LOC with un-signed Outcomes Finalization will therefore be found, so that the HHCM can signed and finalized the HCBS/LOC in a timely manner. Subsequently, NYS DOH Capacity Management will automatically receive the information for the proper R/RE K-code to be entered on the child/youth's file, and HCBS providers who serve the child/youth can receive timely payment. The R/RE K-code entry date will now match when the annual re-assessment due date will be needed. In addition, these HCBS/LOC Outcomes Finalization will be signed/finalized prior the assessment six months lock.

Lead HHSC are encouraged to also check aggregate reports bi-weekly/monthly, to ensure HCBS/LOC are signed/finalized in a timely manner. The HHSC should ensure that the HHCM Supervisors are running the bi-weekly aggregate report. Should the UAS HCBS/LOC Outcomes continue to not be signed/finalized in an appropriate and timely manner, HHCMA's per member per month (PMPM) claiming will be affected.

Reminder: HCBS/LOC Eligibility exists for one-year (364 days) from the date the UAS Outcomes Finalization is signed/finalized, thus eligibility redetermination is due on an annual basis based upon the UAS Outcome Finalization signed/finalized date. For those HCBS/LOC eligibility determinations where the UAS Outcome Finalization was not signed/finalized (i.e. those identified on the **HCBS/LOC Outcomes Not Signed Tracker**) the one-year annual redetermination date will be based upon the HCBS/LOC assessment date (See *Signing the HCBS/LOC Determination Assessment* UAS reference document step #1). The annual HCBS/LOC eligibility redetermination must be completed *prior* to the lapse of the one-year eligibility. HHCMs can begin gathering eligibility paperwork for HCBS/LOC redetermination two (2) months prior to the month eligibility is due to ensure no lapse in eligibility.

If the child/youth meets Health Home eligibility criteria and does not meet HCBS/LOC, they can be enrolled in HHSC, or remain enrolled in HHSC, even if discharged from HCBS.

Any questions regarding this policy should be directed to the Health Home Serving Children's mailbox at HHSC@health.ny.gov with the subject line: HCBS LOC Review Request.

² **UAS-NY Training: 1450-Course CANS-NY Aggregate Reports and Attached "Running Aggregate Reports – Brief"**



Appendix A

Un-signed Outcome Finalization box in HCBS/LOC in UAS-NY

Summary

All outcomes must be finalized. Signing and finalizing the outcomes is required to start the one year HCBS Eligibility period for all determinations, including negative results that are appealed.

HCBS/LOC Eligibility

HCBS/LOC Eligibility	Yes, eligible
Serious Emotional Disturbance	Not selected
Medically Fragile	Yes
Developmental Disability & Foster Care	Not selected
Developmental Disability & Medically Fragile	Not selected

Outcomes Finalization

Assessor Name

I acknowledge that the outcomes have been reviewed with the applicant. I certify that the outcomes are, to the best of my ability, accurate and complete, with the required documentation.

Signed/Finalized Outcomes Finalization box in HCBS/LOC in UAS-NY

You cannot sign the outcomes until a Medicaid number is entered in the Identification Info section.

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Assessor Name

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Date of Signature