



Department  
of Health

# New York Independent Assessor

**Process Overview for Initial Assessments for  
Community Based Long Term Services and  
Supports for Local Departments of Social  
Services**

# Webinar Logistics

- All participants will remain muted throughout the presentation.
- Questions during the presentation should be submitted through the Q&A function.
- The presentation portion of the webinar is being recorded and will be posted along with the slides on the Department of Health's (Department) Independent Assessor (IA) webpage.
- A question-and-answer period will be held at the end of the presentation. Use the "raise hand" function in WebEx if you would like to be unmuted to ask a question.
- Questions will be answered as time permits. All questions, including those we are unable to answer during the webinar, will be included in FAQ documents.
- Answers provided to questions submitted during the webinar will be based on current information, and thus may not constitute a complete or final answer. FAQ documents will be posted on the Department's IA webpage.
- Additional questions may be submitted after the presentation to [independent.assessor@health.ny.gov](mailto:independent.assessor@health.ny.gov).

# Operational Series Training Topics

- **Process Overview of Initial Assessments for Local Departments of Social Services**
- Process Overview for Initial Assessment Communication, Notices, Reports (includes UAS DE)
- NYIA IRP & Assessment Variance Process
- Fair Hearing Roles & Responsibility
- Process Overview of Reassessments for Local Departments of Social Services
- Process Overview for Reassessment Communication, Notices, Reports (includes UAS DE)

# Agenda

**Introduction & Overview**

**Initial Assessment Process Roadmap**

- Individual Scenario

**Summary**

**Resources & Next Steps**

**Appendix**

# Introduction & Overview

January 2022

# Introduction

The **New York Independent Assessor (NYIA) program** was established for New York State Medicaid consumers to conduct the Community Health Assessment (CHA) to determine eligibility for CBLTSS and MLTC Plan enrollment options.

NYIA Nurse Assessors conduct assessments of these individuals using the Community Health Assessment (CHA) located in the UAS-NY to determine whether they qualify for these services.

Independent Practitioners (physicians, nurse practitioners, physician assistants, and specialist assistants) conduct clinical appointments and issue Practitioner's Orders (PO) for personal care and CDPAS for individuals who have been assessed as being qualified for these services.

The CHA and PO are used by Local Departments of Social Services (LDSS) and Medicaid Managed Care Organizations (MMCO) to develop the individual's plan of care and make determinations regarding the services the individual may receive.

# Overview

- This presentation provides an overview of how enrollees in Medicaid Fee For Service (FFS) the Local Department of Social Services (LDSS) and New York Independent Assessor (NYIA) staff will interact to initiate and complete an Initial Assessment and Clinical Appointment for Community Based Long Term Services and Supports (CBLTSS).
- The process described in this presentation includes individuals who seek to receive CBLTSS and are not currently enrolled in a Mainstream Medicaid Managed Care Organization (MMCO) or Managed Long Term Care Plan (MLTCP).
- Immediate Need Initial Assessments will also be described, which consist of the LDSS submitting an Expedited/Immediate Need Assessment Request form and placing a 3-way call with the individual to NYIA to initiate an Immediate Need Assessment.
- The LDSS may request an Immediate Need Assessment even for individuals who are in the process of determining their Medicaid eligibility. Individuals who independently contact NYIA and are not enrolled in Medicaid will be referred to their LDSS to determine their Medicaid eligibility.

# Who goes through Initial Assessments with NYIA?

- The NYIA Initial Assessment and Clinical Appointment process is for Fee For Service (FFS) individuals seeking CBLTSS (current Conflict Free Evaluation and Enrollment Center (CFEEC) population) and/or MLTCP enrollment.
- This process is for individuals who are NOT currently receiving Personal Care Services (PCS) or Consumer Directed Personal Assistance Services (CDPAS) and have expressed an interest or need for these services.



# Role of Local Departments of Social Services

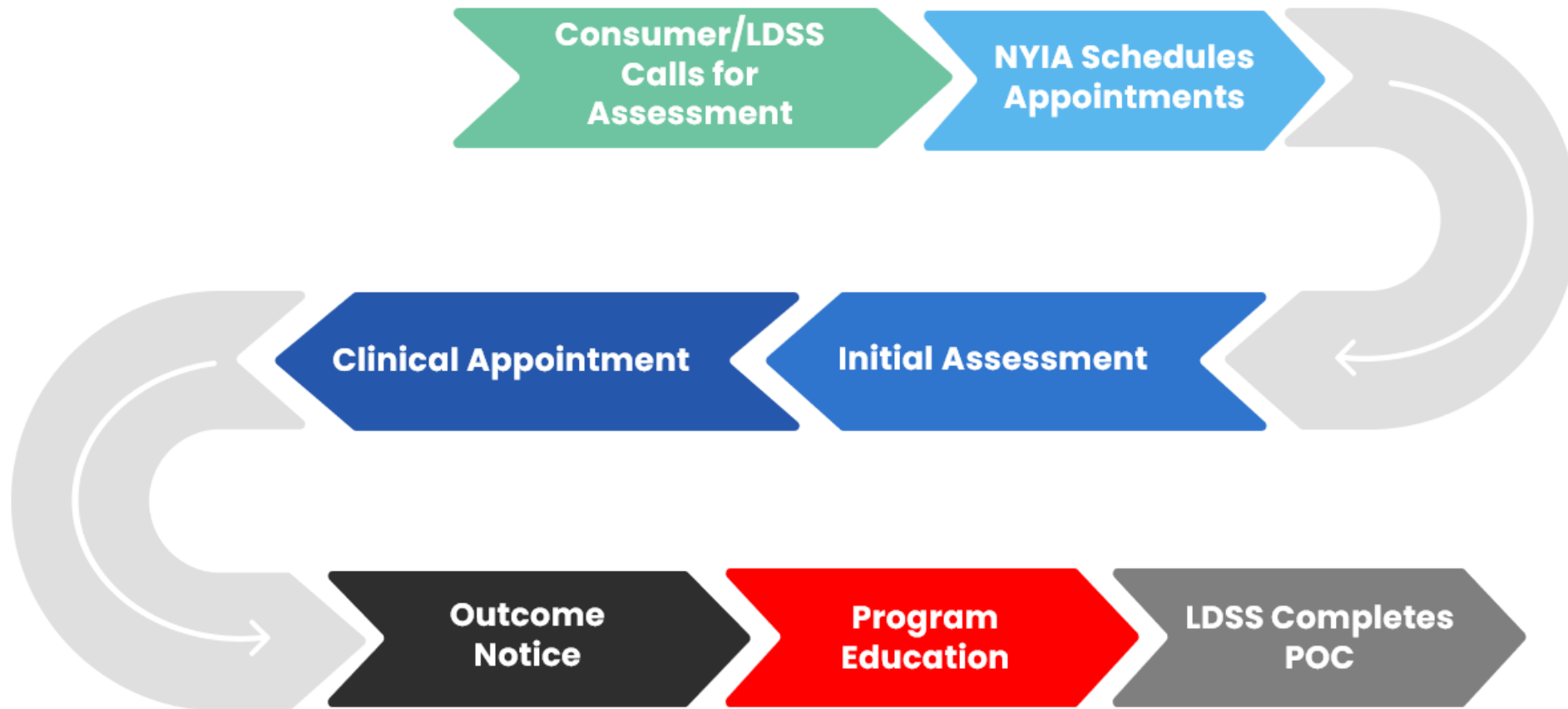
The LDSS serves a key role in connecting individuals to CBLTSS who are not currently enrolled in a Mainstream/HARP/SNP or MLTCP by:

- Referring individuals to NYIA for assessments
- Completing the Expedited/Immediate Needs Assessment Form and submitting to NYIA, as applicable
- Developing plans of care for individuals who meet CBLTSS eligibility criteria and seek services through an LDSS
- Maintaining current UAS-NY case list and enrollment records
- Supporting individuals who are ineligible for CBLTSS to access appropriate services
- Facilitating enrollment into an MLTCP when appropriate

# Initial Assessment Process Roadmap

January 2022

# LDSS - Initiated Initial Assessment Process



January 2022

# Individual Scenario

January 2022

# Individual Scenario

The process described applies to non-plan enrolled individuals who are seeking CBLTSS through LDSS. The individual is required to have:

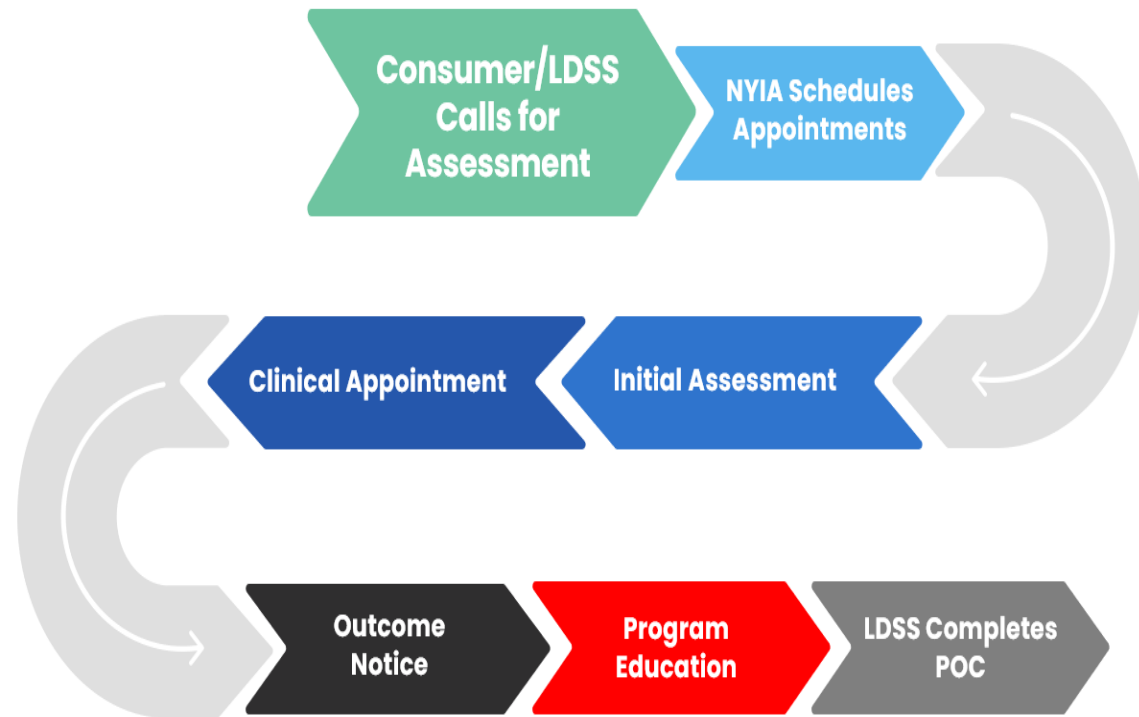
- Community Health Assessment (CHA) completed by an Independent Assessor who is a Registered Nurse
- Clinical Appointment completed by an Independent Practitioner who is an MD, DO, PA, NP, or Specialist Assistant
- The individual and/or the LDSS may request an initial assessment or an Immediate Needs assessment.
- FFS individuals can call NYIA at any time to request an initial assessment for CBLTSS.
- The LDSS may request an Immediate Need process for individuals with FFS Medicaid who have an urgent need for CBLTSS. The LDSS is responsible for a due diligence review to ensure that the individual has an immediate need.

# Individual Scenario

For individuals not yet enrolled in Medicaid:

- Individuals who are not enrolled in Medicaid will be referred by NYIA to their LDSS to establish Medicaid eligibility before being assessed for CBLTSS.
- If an individual has an immediate need for CBLTSS but has not established Medicaid eligibility, the LDSS may still request an Immediate Need process on the individual's behalf. The LDSS is responsible for a due diligence review to ensure the individual has an immediate need.

# Individual Calls for Assessment

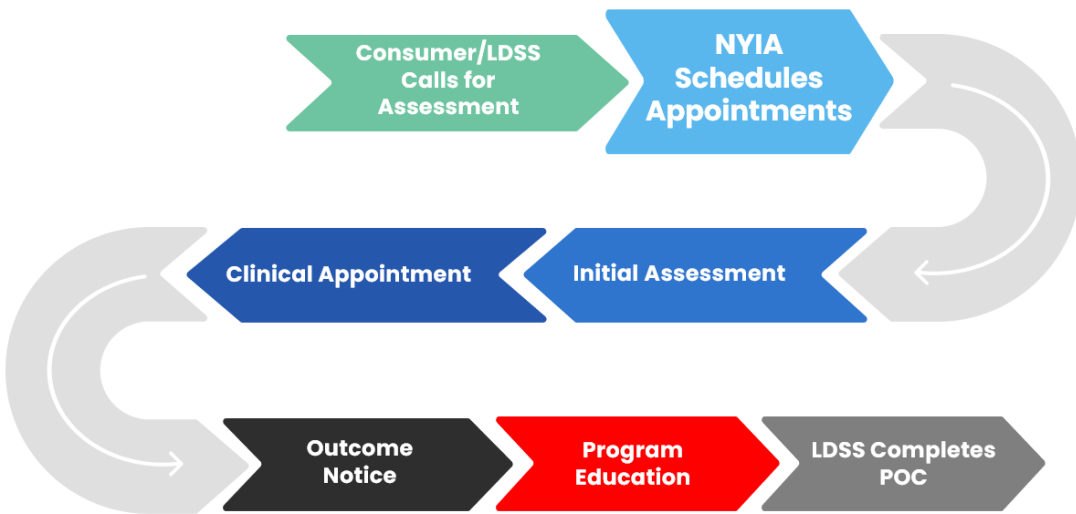


"Dolly" is an individual who is interested in CBLTSS. They and/or the LDSS calls the NYIA Helpline (855-222-8350) to initiate the request during the following times for an Initial Assessment:

- Monday – Friday: 8:30 AM to 8:00 PM
- Saturday: 10:00 AM to 6:00 PM

**NOTE:** Dolly must be on the call with the LDSS to begin the process of scheduling.

# NYIA Schedules Appointment

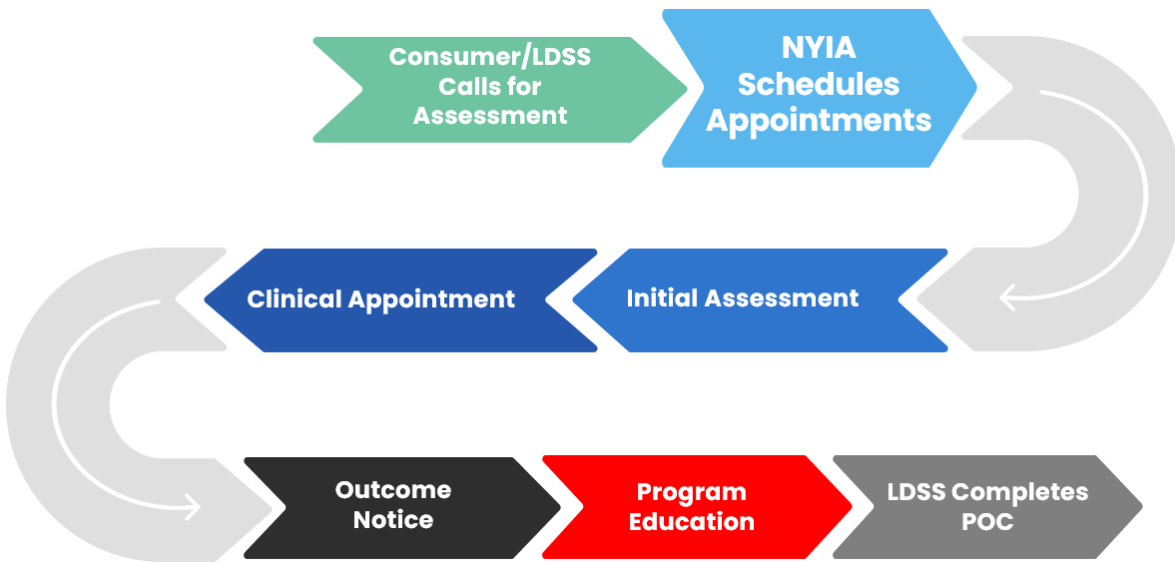


During the call with the NYIA Helpline, the Customer Service Representative (CSR) will confirm if Dolly has active Medicaid.

- If Dolly does not have active Medicaid, they will be referred to their LDSS to apply for Medicaid or to request an Immediate Need Assessment (if they are qualified).
- If Dolly has an active Medicaid plan, the CSR will continue the call and begin the scheduling process.



# NYIA Schedules Appointment



To request an Immediate Need process, the LDSS must complete an Expedited/Immediate Need Assessment Request form via a secure URL and then place a 3-way call with Dolly and the NYIA Operational Support Unit (OSU) at 855-665-6942.

- The OSU Coordinator will confirm receipt of the Expedited/Immediate Need Assessment Request form (NOTE: LDSS must complete the form prior to calling OSU)
- Upon receipt of the form, the OSU Coordinator will schedule both the Initial Assessment and the Clinical Assessment to be completed within six calendar days of the call.

# NYIA Schedules Appointment – Immediate Need



## Expedited/Immediate Need Assessment Request Form

### SECTION 1. MANAGED CARE ORGANIZATION (MCO)/ LOCAL DEPARTMENT OF SOCIAL SERVICES (LDSS) CONTACT INFORMATION

MCO/LDSS Name *Select...	
MCO/LDSS Contact Name *	
Contact Email Address *	Contact Telephone Number *

### SECTION 2. INDIVIDUAL'S IDENTIFYING INFORMATION

Last Name *	First Name *	MI	DOB (MM/DD/YYYY) *
Medicaid CIN	Social Security Number	Telephone Number * <input type="radio"/> Landline <input type="radio"/> Mobile	
Address (No. and Street) *		City *	
State *	Zip Code *	Email Address	

AUTHORIZED REPRESENTATIVE (IF APPLICABLE)

# NYIA Schedules Appointment – Immediate Need

## AUTHORIZED REPRESENTATIVE (IF APPLICABLE)

Last Name	First Name	MI	Relationship to Individual Select...
Address (No. and Street)		City	State
Zip Code		Telephone Number <input type="radio"/> Landline <input type="radio"/> Mobile	
Email Address			

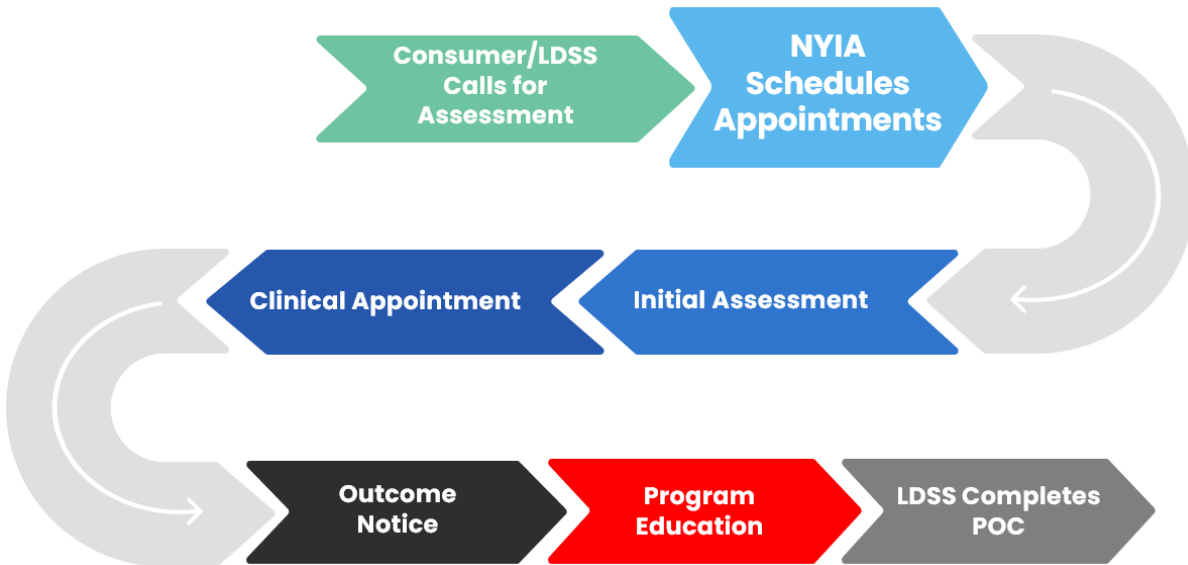
*A legally authorized representative for the purpose of sharing health information is defined as "a person or agency authorized by state, tribal, military or other applicable law, court order or consent to act on behalf of a person for the release of medical information."*

## SECTION 3. EXPEDITED/IMMEDIATE NEED ASSESSMENT REQUEST INFORMATION

Date Supporting Documents/Information Received by MCO/LDSS to Support Expedited/Immediate Need Request (MM/DD/YYYY)	Date Request Sent to Independent Assessor (MM/DD/YYYY)
*	01/04/2022
Assessment Request Type <input checked="" type="radio"/> Initial Assessment <input type="radio"/> Reassessment <input type="radio"/> Change in Condition	MCO/LDSS Authorization Name (please print) _____ Signature <a href="#">* Click here to sign</a> Date (MM/DD/YYYY) 01/04/2022

NYIA-4/INDAB-0721

# NYIA Schedules Appointment

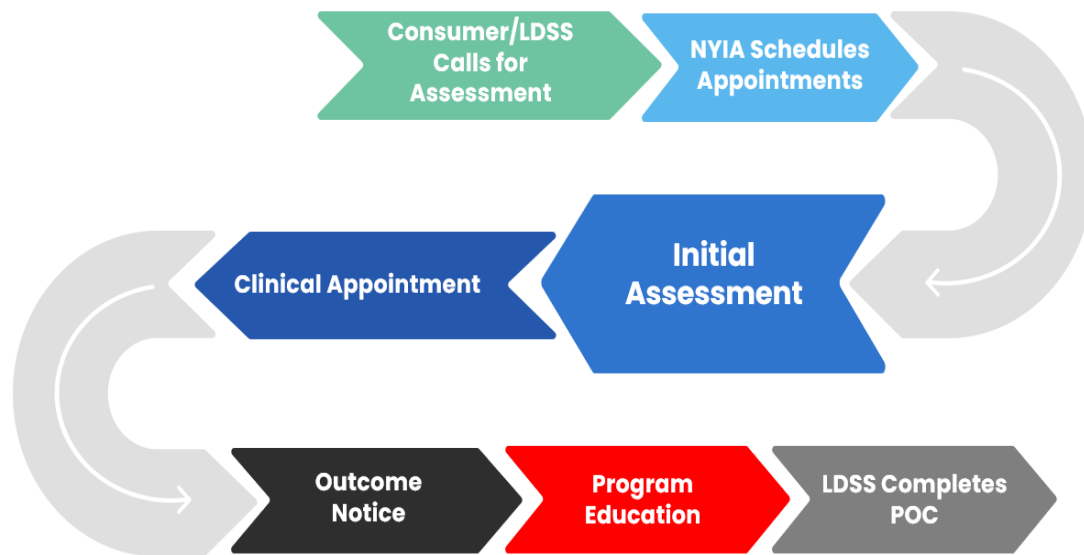


Upon confirmation of Dolly's Medicaid enrollment and determining if it is an Initial Assessment or an Immediate Need assessment, the CSR or OSU Coordinator will schedule:

- The Community Health Assessment, which will be conducted by a Nurse Assessor
- The Clinical Appointment to be conducted by MD, DO, NP, PA, or Specialist Assistant who will complete a Practitioner's Order (PO) to authorize CBLTSS

Dolly may choose either Zoom video or in-person meeting modality.

# Initial Assessment

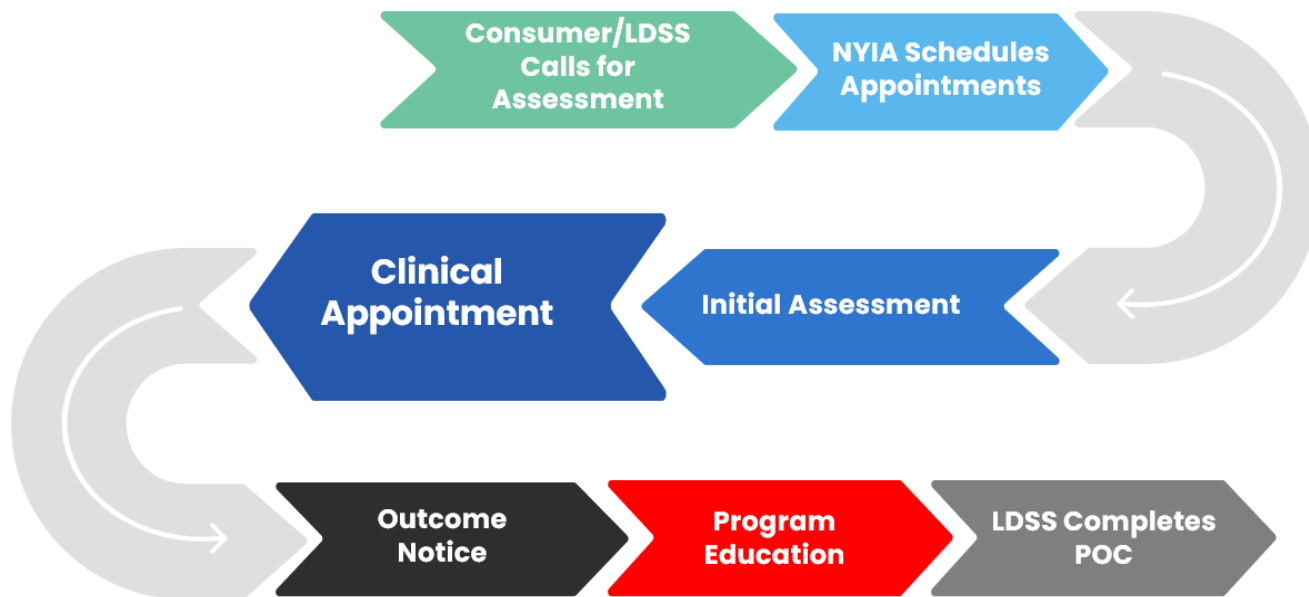


One or two days prior to the scheduled assessment appointment, the Nurse Assessor will call Dolly to prepare them for the appointment. This may include:

- Preparing Dolly to use Zoom (for video appointments)
- Reminding Dolly to have their Medicaid card, medications, etc. readily available

The Nurse Assessor will complete and finalize the assessment in the UAS-NY.

# Clinical Appointment



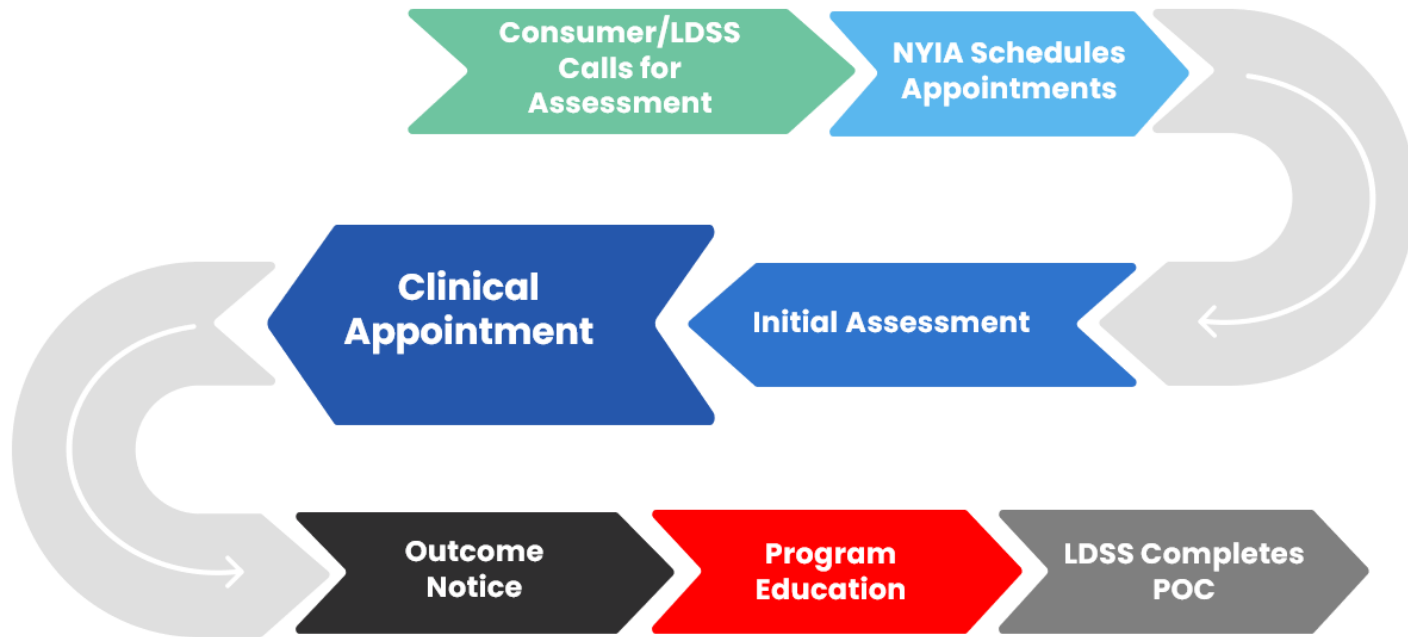
A Clinical Appointment is conducted by an Independent Practitioner who is an MD, DO, NP, PA, or a Specialist Assistant licensed in New York State.

The Clinical Appointment will consist of:

- Examining Dolly and conferring with any other providers, if necessary
- Reviewing the CHA in the UAS-NY
- Determining if Dolly is self-directing or has an appropriate self-directing caregiver
- Determining if Dolly can safely receive CBLTSS at home, based on their medical stability

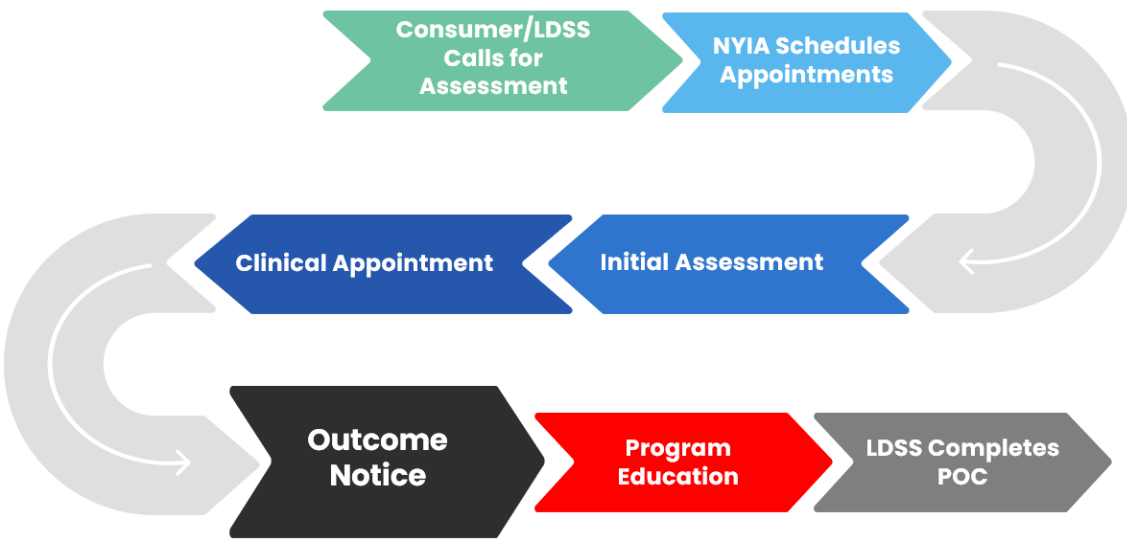
NOTE: The practitioner must not have a current relationship with Dolly.

# Clinical Appointment



At the completion of the Clinical Appointment, the Independent Practitioner will complete the PO indicating whether the Dolly is medically stable to receive CBLTSS safely in their home or community and upload the completed PO form to the UAS-NY.

# Outcome Notice



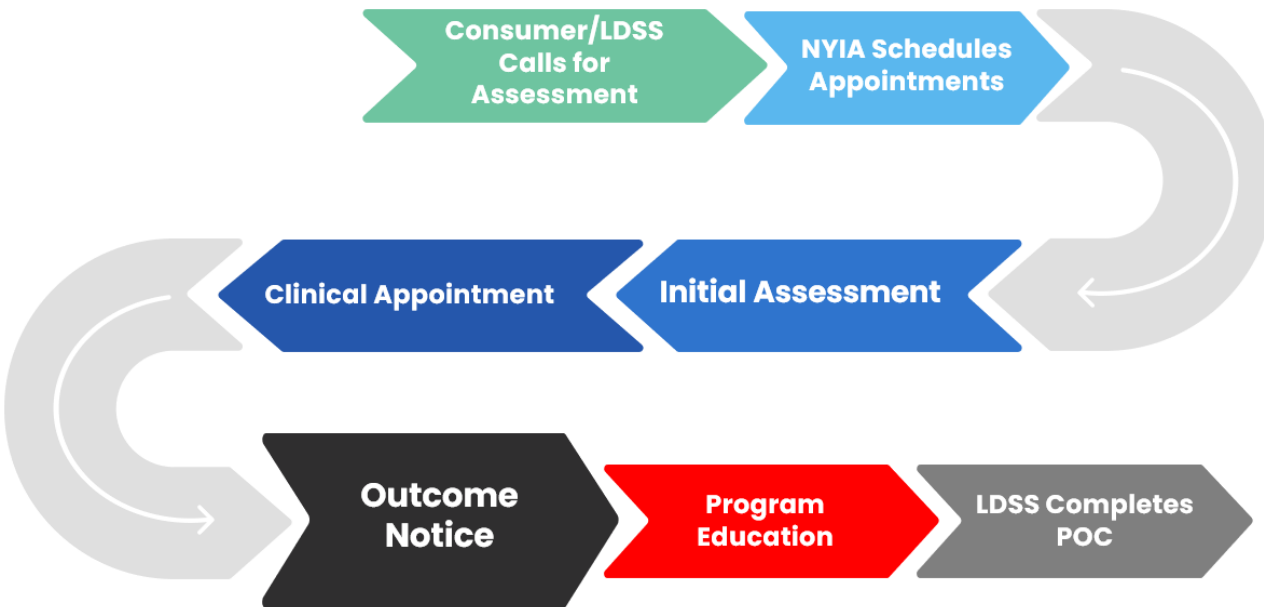
Once both the Initial Assessment and Clinical Appointment are completed, Dolly will receive a written notice from NYIA informing them of the outcome of the assessment and clinical exam.

The outcome notice will advise Dolly of their eligibility for CBLTSS and their MLTCP options (if appropriate).

If it was determined that Dolly is not able to receive services in the community, the written notice will so indicate and include information about their right to a Fair Hearing.



# Outcome Notice

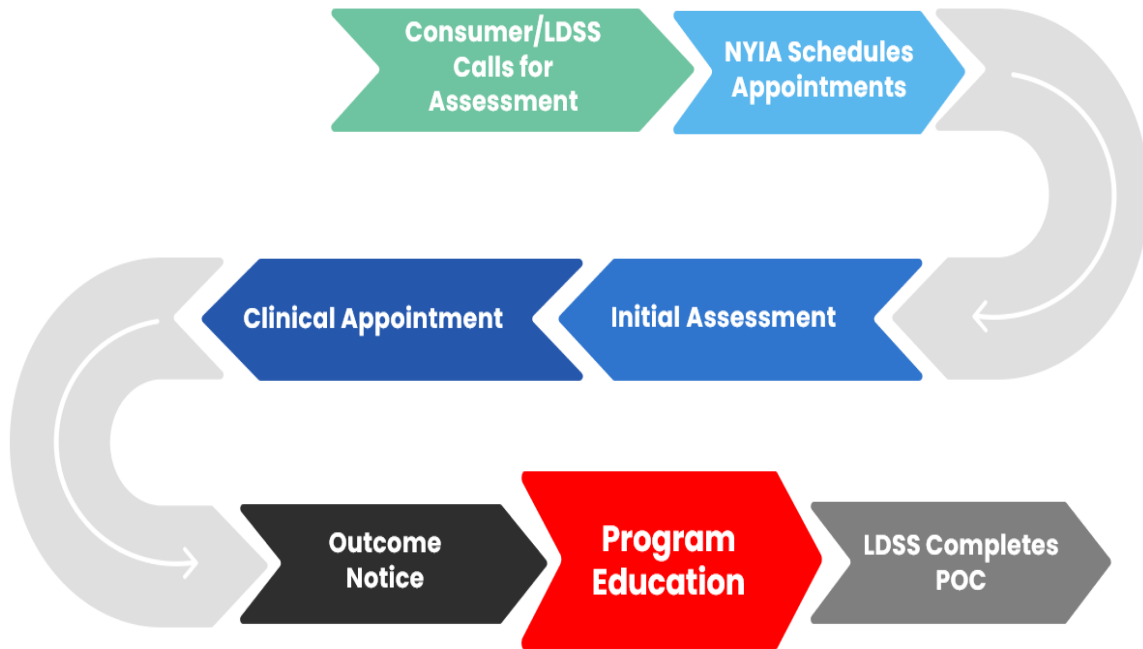


CHA and PO outcomes are available to the LDSS via either the UAS-NY Data Exchange or UAS-NY Reports.

NOTE: This process has not changed.

January 2022

# Program Education

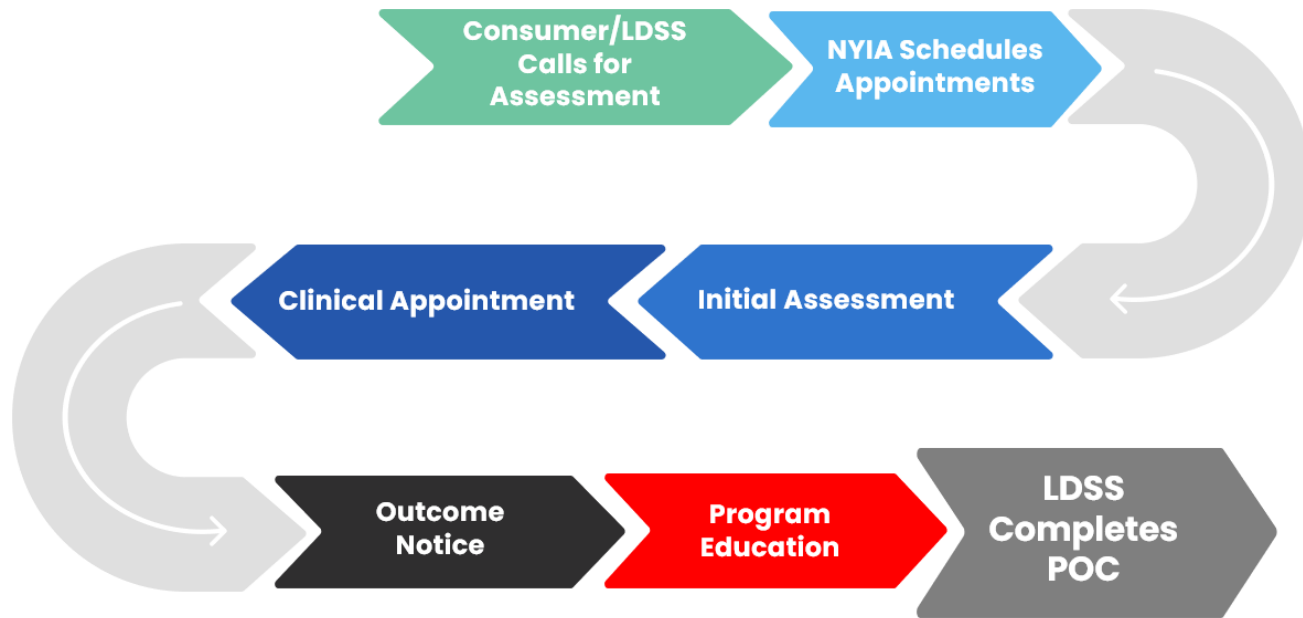


Key messaging in the outcome notice encourages Dolly to call the NYIA Helpline to learn more about their plan options.

Non-Dual: Plan selected by Dolly will discuss their plan of care with them.

- Dual: Dolly must choose an MLTCP within the next 120 days or they will be automatically assigned to one.

# LDSS Completes Plan of Care (POC)



The plan selected by Dolly will use the CHA and PO posted on UAS-NY to develop their plan of care with them.

# Summary

January 2022

# Summary

- The individual and/or LDSS may contact NYIA to request an Initial Assessment for CBLTSS.
- At the completion of the Clinical Appointment, an Independent Practitioner will issue a PO indicating the individual's medical stability for CBLTSS.
- An outcome notice will be issued upon the completion of a CHA and a CA. The outcome notice informs the individual:
  - if they are eligible for CBLTSS
  - if service cannot be rendered safely in the community (if applicable)
  - their plan options (if applicable)
  - Fair Hearing rights (if applicable)

## Next Steps

- The LDSS is responsible for developing a plan of care and authorizing services for the individual. LDSS does not need to request a DOH-4359 from providers to initiate services.
- The individual may opt to join an MLTCP if they qualify.
- The individual may request a Fair Hearing to contest the outcome described in the written notice they received from NYIA.
- If the individual requests a Fair Hearing in response to the written notice issued by NYIA, NYIA will be represented by a Quality Assurance Nurse Specialist at the Fair Hearing.

# Resources

- Final Regulations can be found at:
  - [Personal Care Services 505.14](#)
  - [Consumer Directed Personal Assistance Services 505.28](#)
- DOH/NYIA will be scheduling additional webinars and trainings with LDSS front-line staff in January 2022. Information on trainings will be posted on the DOH's website at: [https://www.health.ny.gov/health\\_care/medicaid/redesign/independent\\_assessor.htm](https://www.health.ny.gov/health_care/medicaid/redesign/independent_assessor.htm)
- Questions can be sent to [independent.assessor@health.ny.gov](mailto:independent.assessor@health.ny.gov)

# Questions and Answers

## Process Overview of Initial Assessments for LDSS



January 2022



# Appendix

January 2022

# Acronyms

Acronym	Definition
CA	Clinical Appointment
CBLTSS	Community Based Long Term Services and Supports
CDPAS	Consumer Directed Personal Assistance Services
CFEEC	Conflict Free Evaluation and Enrollment Center
CHA	Community Health Assessment
CSR	Customer Service Representative

# Acronyms

Acronym	Definition
DO	Doctor of Osteopathic Medicine
FFS	Fee For Service
HARP	Health And Recovery Program
LDSS	Local Department of Social Services
MD	Medical Doctor
MLTC	Managed Long Term Care

# Acronyms

Acronym	Definition
MLTCP	Managed Long Term Care Plan
MMCO	Medicaid Managed Care Organization
NP	Nurse Practitioner
NYIA	New York Independent Assessor
OSU	Operations Support Unit
PA	Physician's Assistant

# Acronyms

Acronym	Definition
PACE	Program of All-Inclusive Care for the Elderly
PCS	Personal Care Services
PO	Practitioner's Order
RN	Registered Nurse
SNP	Special Needs Plan
UAS-NY	Uniform Assessment System for New York