

## **QIO – HCBS Slot Management**

### **Purpose:**

To allocate home and community-based services (HCBS) slots in accordance with funding allocation and wait list characteristics. A buy-down slot is available when additional slots are made available to be released through legislative appropriations. An attrition slot may become available when a member currently receiving waiver services dies or a temporarily closed slot is permanently closed. Allocation of all slots is at the discretion of and released through direction received from HHS.

### **Identification of Roles:**

Income maintenance worker (IMW) – requests a slot from the slot manager via loWANS for a member applying for a particular waiver.

Targeted case manager (TCM), case manager (CM), service worker (SW), integrated health home care coordinator (IHHCC) and community-based case management (CBCM) – initiates services once a member has received a slot.

HCBS slot manager – generates waiver reports as required, answers milestones, emails, and releases slots per schedule identified by Policy, monitors HCBS wait lists, tracks slot requests, updates member slot activity, issues slot according to application date, completes weekly and monthly slot reports, submits reports to the Iowa Medicaid webmaster for release.

HCBS operations manager – provides work assignments, supervision, and consultation to the HCBS slot manager, performs slot internal quality control activities.

HCBS unit manager or Policy designee - oversees and manages HCBS program activities.

Policy program manager – oversees waiver program activities for a specific waiver.

Data Warehouse – performs data storage and statistical analysis of Iowa Medicaid data.

### **Performance Standards:**

- Publish funding allocations on the website within 10 business days of the end of the reporting period and in a format that is approved by HHS and accessible to the public.
- Report waiver slot and wait list data on a monthly, quarterly, annual, and ad hoc basis.

## **Path of Business Procedure – Determining Slot Availability:**

**Step 1:** Policy correlates multiple reports created by the HCBS slot manager to draft slot release recommendations, recommendations approved by HHS committee, then Policy drafts a release plan and submits to the HCBS slot manager.

**Step 2:** If Policy designee determines slot(s) available the HCBS slot manager will run a report from WISE to determine the next member(s) to receive a slot, determined by application date and slot prioritization (when applicable).

**Step 3:** At least daily, the HCBS slot manager will review WISE for new slot requests, “Is a slot available?” milestone.

**Step 4:** When a slot request is received the HCBS slot manager will answer the milestone appropriately and WISE will update the member information.

**Step 5:** If a slot is available, the HCBS slot manager will respond in WISE “Available”.

**Step 6:** If a slot is not available, the HCBS slot manager will respond in WISE “Not available. Placed on waiting list.”.

## **Path of Business - Releasing Slots When There is a Waitlist:**

**Step 1:** The HCBS slot manager will be notified by HHS to release slots. There are three types of releases:

- a. Attrition: Monthly releases based on attrition guidelines.
- b. Buy-down: Funding that has been approved by the legislature.
- c. Catch-up: Leftover funding from buy-down releases.

**Step 2:** The HCBS slot manager will generate a release list in WISE based on attrition guidelines or the parameters developed by the legislature or HHS.

**Attrition Guidelines:** A slot may be available for release if attrition meets the following definition or as directed by the HCBS unit manager or Policy designee.

- a. A slot will be immediately reissued upon notice to the HCBS slot manager (if the waiver had available slots) when:
  - 1) Member aged out of the waiver (CMH, PD, HD), or
  - 2) Member is deceased.
- b. Closure reasons that would allow a slot to be reissued after 30 days of closure notice to the HCBS slot manager if no begin date (if the waiver had available slots) when:
  - 1) Application withdrawn.
  - 2) Member chose another waiver.
  - 3) Member moved out of Iowa.
  - 4) Member is in foster care (CMH only).

- c. Closure reasons that would allow a slot to be reassigned to the next member on the wait list after 120 days of closure notice to the HCBS slot manager if no begin date (if the waiver had available slots):
  - 1) Member did not respond to notice from IMW: response deadline 30 days, allows for ETP requests and processing.
  - 2) Member has been admitted to a nursing facility.
  - 3) Member has been denied level of care; allows for appeal completion.
  - 4) Member admitted to ICF/ID or PMIC.
  - 5) Member has not complied with annual medical financial review; allows for delays in processing by field staff.
  - 6) Member requested waiver to be closed; IMW will reopen if requested within 30 days.
  - 7) Over resources.
  - 8) Other income variables – not eligible.
  - 9) Member needs not met by waiver.
  - 10) Non-use of services.
  - 11) Juvenile court.
- d. For members who had been actively on a waiver but who were closed off the waiver, and who request a slot, and that request is received by the HCBS slot manager between days 121-180 after notice of closure to the HCBS slot manager, the HCBS slot manager will put that member on the waiting list in accordance with the member's original application date that became waiver enrollment for that waiver. This will allow the member to be put very high on the waiting list while still allowing HHS to manage the number of members on the waiver.
- e. For members who had been on a waiver but the waiver has been closed for more than 180 days, or members who never accessed a waiver once the waiver is closed, they must reapply and have a new application date based upon that date of application.

**Step 3:** HCBS slot manager reviews the results of the WISE release list to ensure accuracy. HCBS slot manager ensures the total number of slots assigned will not exceed the number of slots budgeted or approved by CMS for the waivers.

**Step 4:** HCBS slot manager reviews the results of the WISE release list to ensure that the correct individuals will receive a slot. This is determined by application date, then by member's birth month if more than one member has the oldest application date, or as otherwise directed by the HCBS unit manager or Policy designee.

**Step 5:** The following steps will be followed to release a slot:

- a. Search for the member's program request line using the member's SID in loWANS.
- b. When the appropriate member has been selected, the member's program requests will be displayed. HCBS slot manager will select the appropriate request line.

- c. HCBS slot manager will click on the drop-down arrow for Workflow Options and choose “Slot Now Available”.
- d. The workflow will be processed by clicking on the “Process Workflow” button and responding “yes” to the pop-up box verifying the workflow is to be processed.

**Step 6:** HCBS slot manager will receive a milestone in WISE stating “Slot Available change flow has been initiated. Is a slot available for this consumer?” HCBS slot manager will respond “yes” and WISE will update automatically. Additional IoWANS milestones will notify the IMW, TCM, CM, SW, CBCM or IHHCC through IoWANS that the member’s slot is now available.

**Step 7:** Subsequent milestones are received in WISE by the HCBS slot manager.

**Step 8:** HCBS slot manager will verify that all assigned slots have been released to the appropriate individual.

### **Path of Business Procedure – Releasing a Slot When there is No Wait List:**

**Step 1:** At least daily, HCBS slot manager will review WISE for new milestones.

**Step 2:** HCBS slot manager receives WISE milestone asking “Is slot available?”

**Step 3:** HCBS slot manager will respond to the milestone in WISE “Available”.

**Step 4:** HCBS slot manager will verify that WISE updated correctly.

**Step 5:** Additional IoWANS/WISE milestones will notify the IMW, TCM, CM, SW, or IHHCC through IoWANS that the member’s slot is now available.

**Step 6:** Subsequent WISE milestones received by HCBS slot manager will be processed according to the action(s) taken by the IMW, TCM, CM, SW, CBCM or IHHCC.

**Step 7:** HCBS slot manager will provide a weekly report (Attachment I) to the HCBS unit manager and HCBS senior manager.

### **Path of Business Procedure – Slot prioritization:**

**Step 1:** For members placed on a wait list that requires prioritization (ID and BI waivers), an Informational Letter advising placement on a waiting list and Priority/Emergent Needs Assessment forms (see Attachment 2 and 3) or HCBS Brain Injury Waiver Emergent Need Assessment-Statewide Waiting List will be sent to the member. The member will be required to complete and return the assessment form and return to the QIO.

**Step 2:** The member’s completed assessment form will be delivered to the HCBS slot manager in OnBase.

**Step 3:** HCBS slot manager will print all assessment forms submitted in OnBase and track member response on the HHS prioritization tracking database, and will provide the completed forms to the appropriate HCBS waiver program manager no fewer than twice per week.

**Step 4:** The waiver program manager will return the assessment forms and decision notice to the HCBS slot manager once analysis has been completed. HCBS slot manager will prepare a decision packet to be mailed to the member. The decision packet will contain the waiver program manager's decision letter (letter will act as Notice of Decision) if waiver program manager has issued an adverse decision and a copy of the original assessment form submitted. The ID waiver program manager will determine letter verbiage for their wait list.

**Step 5:** HCBS slot manager will enter the number of priority/emergent needs assigned to each member in WISE.

**Step 6:** Once the packet has been mailed, HCBS slot manager will upload the decision packet into OnBase, attach the decision packet to the assessment form submitted by the member, and complete the assessment form and decision packet.

### **Path of Business – Answering Milestones:**

**Step 1:** HCBS slot manager receives and answers milestone notifications in WISE daily.

**Step 2:** HCBS slot manager reviews individual milestones in WISE by selecting the milestone and reviewing current information.

**Step 3:** HCBS slot manager will answer the milestone appropriately.

- a. Is a Slot Available? – HCBS slot manager will answer yes or no according to attrition guidelines, waitlists, and other appropriate criteria.
- b. All other milestones –HCBS slot manager will answer OK.

**Step 4:** HCBS slot manager will review automatic updates in WISE to ensure that the status, application date, and end codes (if applicable) align with attrition guidelines.

### **Path of Business Procedure – Reserve Capacity (RCS) Slot Management:**

HCBS slot manager will issue RCS for the CMH and the BI waivers beginning October 1 of each year and the ID waiver beginning July 1 of each year, in accordance to the RCS waiting list characteristics. RCS are for members leaving facilities and returning to the community. An RCS must be specifically requested.

**Step 1:** On the first day of the waiver year the HCBS slot manager will release RCS in accordance with the number approved by the program manager to members on the ID, CMH, and BI RCS waiting lists.

**Step 2:** If all RCS are not released the HCBS slot manager will release them as requested and in accordance to the member's request date. RCS will be issued throughout the waiver year until all RSC have been released, or as otherwise directed by the HCBS unit manager or Policy designee.

**Step 4:** Once all slots have been released the HCBS slot manager will add members requesting a RCS to the RCS waiting lists and the RCS will be released according to the request date at the beginning of the next waiver year.

### **Path of Business Procedure – Requesting a Residential-Based Supported Community Living Slot (RB-SCL) under ID Waiver:**

**Step 1:** If a request is received through an loWANS milestone, notify the program manager via email that an RB-SCL request has been received.

**Step 2:** If request is received through email for member who does not have an ID waiver slot, HCBS slot manager will respond to email with the following verbiage and copy the program manager: *“In order to request an RB-SCL slot you will need to refer to Iowa Administrative Code 441-Chapter 83.61 (I)k and submit the required paperwork to Program Manager for review. Once the Program Manager has reviewed the documentation they will advise if the slot has been approved or not. If the slot is approved we will then begin the workflow in loWANS.”*

**Step 3:** HCBS slot manager will be notified by the program manager via email of approval or denial. If RB-SCL is approved by program manager, HCBS slot manager will release an ID waiver slot in loWANS.

**Step 4:** For each member to be released, the HCBS slot manager will receive a WISE milestone stating “Slot Available change flow has been initiated. Is a slot available for this consumer?” HCBS slot manager will respond “yes” and include note stating “RB-SCL”. HCBS slot manager will verify that WISE updated accordingly. Additional loWANS milestones will notify the IMW, TCM, CM, SW, CBCM, or IHHCC through loWANS that the member’s slot is now available.

**Step 5:** Subsequent ID waiver loWANS milestones received by the HCBS slot manager will be processed according to the action(s) taken by the IMW, TCM, CM, SW, CBCM or IHHCC.

### **Path of Business – Reporting Requirements:**

**Step 1:** HCBS slot manager will document completion of the weekly reports slot activity on the slot manager IQC document.

**Step 2:** HCBS slot operations manager and HCBS senior manager will perform IQC for the weekly slot activity as documented in the IQC document.

## Forms/Reports:

**Report A:** MCO Data Pull. A CSV report file will be prepared by the HCBS slot manager and is due weekly to a shared file by 2 P.M. each Monday.

**Report B:** Analysis Report. Report will be prepared by the HCBS slot manager for any slot release containing 1,000 or more member slot releases and is due weekly to the HCBS unit manager or Policy designee by 10 A.M. each Friday.

**Report C:** Weekly Hoover Report. Report will be prepared by the HCBS slot manager and is due weekly to the HCBS unit manager or Policy designee by 10 A.M. each Friday.

**Report D:** Weekly Wait list statistics (Attachment 1). Report will be prepared by the HCBS slot manager and is due weekly to the HCBS unit manager or Policy designee by 10 A.M. each Friday.

**Report E:** MCO Pending Report. Report will be prepared by the HCBS slot manager and is due the 1<sup>st</sup> Monday of each month to the HCBS unit manager or Policy designee by end of business day.

**Report F:** Slot Release Lists. Report will be prepared by the HCBS slot manager and is due following the notification of an attrition, buy-down, or catch-up slot release to the HCBS unit manager or Policy designee by the end of business day following notification of slot release.

**Report G:** Slot Released QA. Report will be prepared by the HCBS slot manager and is due following the release of slots for an attrition, buy-down, or catch-up slot release to the HCBS unit manager or Policy designee by the end of business day following the release of slots.

**Report J:** Monthly Cohort Report/Monthly Slots Closed and Released. Report will be prepared by the HCBS slot manager and is due monthly to the HCBS unit manager or Policy designee by 10 A.M. of the first Friday of every month.

**Report K:** Fiscal Max verses Actual Enrollment. Report will be prepared by the HCBS slot manager and is due monthly to the HCBS unit manager or Policy designee by 10 A.M. of the first Friday of every month.

**Report M:** Monthly Public and Internal Slot and Waiting List (Attachment 4). Report will be prepared by the HCBS slot manager and is to be completed by the 10<sup>th</sup> business day of each month. HCBS unit manager or Policy designee will determine if the public waiting list report for that month will be posted, and who will submit the public wait list report to the Iowa Medicaid webmaster.

## RFP References:

I.3.1.4 G.

**Interfaces:**

IoWANS, WISE, OnBase, DHSWaiverSlot email

**Attachments:**

Attachment I: Weekly Slot Status Report

Waiver	CMS Approved Max #	Currently Enrolled (ISIS)	Pending	Temp. Closed	Slots used	Slots Avail.	On Wait List	Next App. Date
Brain Injury (Oct-Sep)	1,400							
Reserved Capacity* (Oct-Sep)	30							N/A
Enrolled in MFP* (Oct-Sep)	-					N/A		N/A
Reserved Capacity-CNRS* (Oct-Sep)	15							N/A
CMH (Jul-Jun)	1,237							
Reserved Capacity* (Jul-Jun)	10							
Health & Disability (Nov-Oct)	2,800							
Physical Disability (Aug-Jul)	1,250							
Intellectual Disability (Jul-Jun)	12,912							10/01/14
Reserved Capacity (Jul-Jun)	125						N/A	N/A
Enrolled in -MFP (Jul-Jun)	-					N/A	N/A	N/A
Reserved Capacity-RBSCL* (Jul-Jun)	72						N/A	N/A
Elderly (Aug-Jul)	9,500		-	-			N/A	N/A
Aids (Jul-Jun)	73		-	-			N/A	N/A
* Reserved Capacity slot figures are a subset of their respective waiver								
"-." indicates data is not available due to reporting capabilities								
"N/A" indicates data is not applicable to this area								
Currently there are XX pending for WY17 for BI								
Currently there are XX pending for WY17 for ID								



Attachment 2: HCBS ID Waiver Priority Need Assessment-Statewide Waiting List

<b>Home- and Community-Based Services (HCBS) Intellectual Disability Waiver Priority Need Assessment – Statewide Waiting List</b>	
Name: «FNAME» «LNAME»	Date: MM/DD/YYYY
Social Security Number or State ID: «SID»	Date of Birth: «DOB»

**Emergency Need Criteria - Circle all that apply and provide detail on the next page:**

1. The usual caregiver has died or is incapable to provide care, and no other caregivers are available to provide needed supports.
2. The applicant has lost primary residence or will be losing housing within 30 days and has no other housing options available.
3. The applicant is living in a homeless shelter and no alternative housing options are available.
4. There is founded abuse or neglect by a caregiver or others living within the home of the applicant and the applicant must move from the home.
5. The applicant cannot meet basic health and safety needs without immediate supports.

**Total Emergency Criteria Circled \_\_\_\_\_**

**Urgent Need Criteria - Circle all that apply and provide detail on the next page:**

1. The caregiver will need support within 60 days in order for the applicant to remain living in the current situation.
2. The caregiver is unable to continue to provide care within the next 60 days.
3. The primary caregiver is 55 years of age or older and has a chronic or long term physical or psychological condition that limits the ability to provide care.
4. The applicant is living in temporary housing and plans to move within 31-120 days.
5. The applicant is losing permanent housing and plans to move within 31-120 days.
6. The caregiver will be unable to be employed if services are not available.
7. There is a potential risk of abuse or neglect by caregiver or others within the home of the applicant.
8. The applicant has behaviors that put self at risk.
9. The applicant has behaviors that put others at risk.
10. The applicant is at risk of facility placement when needs could be met through community- based services.

**Total Urgent Criteria Circled \_\_\_\_\_**

Applicants who meet any of the emergency criteria shall be placed on the statewide wait list based on total number of criteria met. Applicants with an equal number of criteria shall be placed on the wait list based on the date of application and the age of the applicant. Applicants meeting the emergency criteria shall receive the first available funding slot.

Applicants who meet the urgent criteria shall be placed at the statewide wait list after those meeting the emergency criteria and based on total number of criteria met. Applicants with an equal number of criteria shall be placed on the wait list based on the date of application and the age of the applicant.

Applicants who do not meet the emergency or urgent criteria shall be placed on the statewide wait list based on the date of application and the age of the applicant.

If there is a change in the applicant's need, they must contact the local Department of Human Services (DHS) office to request a reassessment of need.

Comments and additional information is needed to support the circled criteria on page one. If insufficient information is provided to support the circled criteria, the criteria may not be utilized for waiting list placement:

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

(If additional space is needed, use the back of this page or an additional sheet of paper.)

Assessment Completed By (please print):
Signature:
Contact Phone Number:
Relationship to Applicant:

Attachment 3: HCBS BI Emergent Need Assessment-Statewide Waiting List

**Home- and Community-Based Services (HCBS) Brain Injury Waiver  
Emergency Need Assessment**

Name: «First_Name» «Last_Name»	Date: January 2, 2020
Social Security Number or State ID: «State_ID»	Date of Birth: «DOB»

**Emergency Need Criteria - Circle all that apply and provide detail on the next page:**

1. The usual caregiver has died or is incapable of providing care, and no other caregivers are available to provide needed supports.
2. The applicant has lost primary residence or will be losing housing within 30 days and has no other housing options available.
3. The applicant is living in a homeless shelter and no alternative housing options are available.
4. There is founded abuse or neglect by a caregiver or others living within the home of the applicant, and the applicant must move from the home.
5. The applicant cannot meet basic health and safety needs without immediate supports.

**Total Emergency Criteria Circled \_\_\_\_\_**

**Urgent Need Criteria - Circle all that apply and provide detail on the next page:**

1. The caregiver will need support within 60 days in order for the applicant to remain living in the current situation.
2. The caregiver will be unable to continue to provide care within the next 60 days.
3. The caregiver is 55 years of age or older and has a chronic or long-term physical or psychological condition that limits the ability to provide care.
4. The applicant is living in temporary housing and plans to move within 31 to 120 days.
5. The applicant is losing permanent housing and plans to move within 31 to 120 days.
6. The caregiver will be unable to be employed if services are not available.
7. There is a potential risk of abuse or neglect by a caregiver or others within the home of the applicant.
8. The applicant has behaviors that put the applicant at risk.
9. The applicant has behaviors that put others at risk.
10. The applicant is at risk of facility placement when needs could be met through community-based services.

**Total Urgent Criteria Circled \_\_\_\_\_**

Applicants who meet an emergency need criterion shall be placed on the emergency reserved capacity priority waiting list based on the total number of criteria that are met. If applicants meet an equal number of criteria, the position on the waiting list shall be based on the date of application and the age of the applicant. The applicant who has been on the waiting list longer shall be placed higher on the waiting list. If the application date is the same, the older applicant shall be placed higher on the waiting list.

Applicants who meet an urgent need criterion shall be placed on the priority waiting list after applicants who meet emergency need criteria. The position on the waiting list shall be based on the total number of criteria that are met. If applicants meet an equal number of criteria, the position on the waiting list shall be based on the date of application and the age of the applicant. The applicant who has been on the waiting list longer shall be placed higher on the waiting list. If the application date is the same, the older applicant shall be placed higher on the waiting list.

Applicants who do not meet emergency or urgent need criteria shall remain on the waiting list, based on the date of application. If the application date is the same, the older applicant shall be placed higher on the waiting list. Applicants shall remain on the waiting list until a payment slot has been assigned to them for use, they withdraw from the list, or they become ineligible for the waiver. If there is a change in an applicant's need, the applicant may contact the local department office and request that a new emergency needs assessment be completed. The outcome of the assessment shall determine placement on the waiting list as described above.

**Emergent and Urgent Need Detail**

---

---

---

---

---

---

---

---

(If additional space is needed, use the back of this page or an additional sheet of paper.)

Assessment completed by : (Print Name)	Signature:
Contact Phone Number:	Relationship to Applicant

Return the completed assessment to:  
Iowa Medicaid Enterprise  
Attention: HCBS Wait List  
PO Box 36330  
Des Moines, Iowa 50315  
The assessment may also be emailed to: [WaiverSlot@dhs.state.ia.us](mailto:WaiverSlot@dhs.state.ia.us)

### Attachment 4: Monthly Slot and Waiting List Report

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<b>AIDS/HIV WAIVER</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>BRAIN INJURY WAIVER (SLOT CAP REDUCED BY RESERVED CAPACITY)</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>BRAIN INJURY WAIVER RESERVED CAPACITY</b>												
CMS Cap for ICF/MR, NF, SNF, OOS												
Approved in ISIS												
In Process												
Waiting List												
Next application date for slot												
<b>BRAIN INJURY WAIVER RESERVED CAPACITY - CNRS</b>												
CMS Cap for CNRS												
Approved in ISIS												
In Process												
Waiting List												
Next application date for slot												
CMS Slot Cap												
Approved												
In Process												
Waiting List												
Next application date for slot												
<b>ELDERLY WAIVER</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>INTELLECTUAL DISABILITY WAIVER (SLOT CAP REDUCED BY RESERVED CAPACITY)</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>INTELLECTUAL DISABILITY WAIVER RESERVED CAPACITY- ICF/ID &amp; MFP</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>INTELLECTUAL DISABILITY WAIVER RESERVED CAPACITY - RB SCL</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>HEALTH AND DISABILITY WAIVER</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>PHYSICAL DISABILITY WAIVER</b>												
CMS Slot Cap												
Approved in ISIS												
In process												
Waiting list												
Next application date for slot												
<b>TOTALS</b>												
Total Approved in ISIS												
Total on Wait Lists												

**Definitions:**

Approved in ISIS	Slots approved (enrolled) in ISIS
In process	Slot released but no approved plan in ISIS; slot released and held open for administrative purposes.
Waiting List	Number waiting for an available slot.
Next application date for slot	Oldest application date on the waiting list specific to each waiver