

1 CABINET FOR HEALTH AND FAMILY SERVICES

2 Department for Medicaid Services

3 Division of Long Term Care and Community Alternatives

4 (Amended after Comments)

5 907 KAR 3:090. Acquired brain injury services.

6 RELATES TO: KRS 205.5605, 205.5606, 205.5607, 205.8451, 205.8477, 42 C.F.R.

7 441 Subpart G, 455 Subpart B, 42 U.S.C. 1396a, b, d, n

8 STATUTORY AUTHORITY: KRS 194A.030(2), 194A.050(1), 205.520(3)[, ~~EO 2004-~~

9 ~~726~~]

10 NECESSITY, FUNCTION, AND CONFORMITY: [~~Executive Order 2004-726, effec-~~
11 ~~tive July 9, 2004, reorganized the Cabinet for Health Services and placed the Depart-~~
12 ~~ment for Medicaid Services and the Medicaid Program under the Cabinet for Health and~~
13 ~~Family Services.] The Cabinet for Health and Family Services, Department for Medicaid
14 Services, has responsibility to administer the Medicaid Program. KRS 205.520(3) au-
15 thORIZES the cabinet, by administrative regulation, to comply with any requirement that
16 may be imposed, or opportunity presented, by federal law for the provision of medical
17 assistance to Kentucky's indigent citizenry. This administrative regulation establishes
18 the coverage provisions relating to home- and community-based waiver services pro-
19 vided to an individual with an acquired brain injury as an alternative to nursing facility
20 services. The purpose of acquired brain injury waiver services is to rehabilitate and re-
21 train an individual with an acquired brain injury to reenter and function~~

1 independently within a community, given the community's existing resources. KRS
2 205.5606(1) requires the cabinet to promulgate administrative regulations to establish a
3 consumer-directed services program to provide an option for the home and community-
4 based services waivers. Therefore, this administrative regulation also implements a
5 consumer-directed option program pursuant to KRS 205.5606.

6 Section 1. Definitions.

7 (1) "ABI" means an acquired brain injury.

8 (2) "ABI provider" means an entity that meets the criteria established in Section 2 of
9 this administrative regulation.

10 (3) "ABI recipient" means an individual who meets the criteria established in Section
11 3 of this administrative regulation.

12 (4) "Acquired brain injury waiver service" or "ABI waiver service" means a home and
13 community based waiver service for an individual who has acquired a brain injury to his
14 or her central nervous system of the following nature:

15 (a) Injury from a physical trauma;

16 (b) Damage from anoxia or a hypoxic episode; or

17 (c) Damage from an allergic condition, toxic substance or another acute medical in-
18 cident.

19 (5) "Assessment" or "reassessment" means a comprehensive evaluation of abilities,
20 needs, and services that is:

21 (a) Completed on a MAP-351;

22 (b) Submitted to the department:

23 1. For a level of care determination; and

1 2. No less than every twelve (12) months thereafter. [~~"Assessment of needs and~~
2 ~~plan of care"~~ means a written assessment and individualized plan submitted on a MAP-
3 011 form that is developed by:

4 ~~(a) An ABI recipient and legal representative if appointed;~~

5 ~~(b) A case manager;~~

6 ~~(c) An ABI service provider; and~~

7 ~~(d) Others as designated by the ABI recipient.]~~

8 (6) "Behavior intervention committee" or "BIC" means a group of individuals estab-
9 lished to evaluate the technical adequacy of a proposed behavior intervention for an ABI
10 recipient.

11 (7) "BISB" [~~"BISU"~~] or "brain injury service branch [~~unit~~]" means the brain injury ser-
12 vice branch [~~unit in the Division of Mental Health, Department for Mental Health and~~
13 ~~Mental Retardation]~~.

14 (8) "Blended services" means a non-duplicative combination of ABI waiver services
15 identified in Section 4 of this administrative regulation and CDO services identified in
16 Section 8 of this administrative regulation provided pursuant to a recipient's approved
17 plan of care.

18 (9) "Board certified behavior analyst" means an independent practitioner who is certi-
19 fied by the Behavior Analyst Certification Board, Inc.

20 (10) "Budget allowance" is defined by KRS 205.5605(1).

21 (11) [~~(8)~~] "Case manager" means an individual who manages the overall develop-
22 ment and monitoring of a recipient's [~~assessment of needs and~~] plan of care.

23 (12) "Consumer" is defined by KRS 205.5605(2).

1 (13) "Consumer directed option" or "CDO" means an option established by KRS
2 205.5606 within the home and community based services waiver that allows recipients

3 to:

4 (a) Assist with the design of their programs;

5 (b) Choose their providers of services; and

6 (c) Direct the delivery of services to meet their needs.

7 (14) "Covered services and supports" is defined by KRS 205.5605(3).

8 (15) [(9)] "Crisis prevention and response plan" means a plan developed to identify
9 any potential risk to a recipient and to detail a strategy to minimize the risk.

10 (16) [(10)] "DCBS" means the Department for Community Based Services.

11 (17) [(11)] "Department" means the Department for Medicaid Services or its desig-
12 nee.

13 (18) [(12)] "DMHMR" means the Department for Mental Health and Mental Retarda-
14 tion Services.

15 (19) [(13)] "Good cause" means a circumstance beyond the control of an individual that
16 affects the individual's ability to access funding or services, including:

17 (a) Illness or hospitalization of the individual which is expected to last sixty (60) days
18 or less;

19 (b) Death or incapacitation of the primary caregiver;

20 (c) Required paperwork and documentation for processing in accordance with Sec-
21 tion 3 of this administrative regulation that has not been completed but is expected to be
22 completed in two (2) weeks or less; or

23 (d) The individual or his or her legal representative has made diligent contact with a

1 potential provider to secure placement or access services but has not been accepted
2 within the sixty (60) day time period.

3 (19) [(14)] "Human rights committee" means a group of individuals established to
4 protect the rights and welfare of an ABI recipient.

5 (20) [(15)] "Interdisciplinary team" means a group of individuals that assist in the de-
6 velopment and implementation of an ABI recipient's plan of care consisting of:

7 (a) The ABI recipient and legal representative if appointed;

8 (b) A chosen ABI service provider;

9 (c) A case manager; or

10 (d) Others as designated by the ABI recipient.

11 (21) "Licensed professional clinical counselor" is defined by KRS 335.500(3).

12 (22) [(16)] "Medically necessary" or "medical necessity" means that a covered bene-
13 fit is determined to be needed in accordance with 907 KAR 3:130.

14 (23) "Licensed marriage and family therapist" or "LMFT" is defined by KRS
15 335.300(2).

16 (24) [(17)] "Occupational therapist" is defined by ~~means an individual who is li-~~
17 ~~censed in accordance with~~ KRS 319A.010(3).

18 (25) "Occupational therapy assistant" is defined by KRS 319A.010(4).

19 (26) "Patient liability" means the financial amount an individual is required to contrib-
20 ute towards cost of care in order to maintain Medicaid eligibility.

21 (27) [(18)] "Psychologist" means an individual who is licensed in accordance with
22 KRS 319.050.

23 (28) [(19)] "Psychologist with autonomous functioning" means an individual who is

1 licensed in accordance with KRS 319.056.

2 (29) [(20)] "Qualified mental health professional" is defined by [~~means a qualified~~
3 ~~mental health professional as defined in~~] KRS 202A.011(12).

4 (30) "Representative" is defined by KRS 205.5605(6).

5 (31) [(24)] "Speech therapist" means an individual who is licensed in accordance
6 with KRS 334A.030.

7 (32) "Support broker" means an individual designated by the department to:

8 (a) Provide training, technical assistance, and support to a consumer; and

9 (b) Assist a consumer in any other aspects of CDO.

10 (33) "Support spending plan" means a plan for a consumer that identifies the:

11 (a) CDO services requested;

12 (b) Employee name;

13 (c) Hourly wage;

14 (d) Hours per month;

15 (e) Monthly pay;

16 (f) Taxes; and

17 (g) Budget allowance.

18 (34) [(22)] "Transition plan" means a plan that is developed to aid an ABI recipient in
19 exiting [~~transitioning~~] from the ABI program into the community.

20 Section 2. Non-CDO Provider Participation. (1) In order to provide an ABI waiver
21 service in accordance with Section 4 of this administrative regulation, excluding a con-
22 sumer-directed option service, an ABI provider shall:

23 (a) Be enrolled as a Medicaid provider in accordance with 907 KAR 1:671, Condi-

1 tions of Medicaid provider participation; withholding overpayments, administrative appeal
2 process, and sanctions;

3 (b) Be certified by the department prior to the initiation of the service;

4 (c) Be recertified at least annually by the department; and

5 (d) Have an office within the Commonwealth of Kentucky.

6 (2) An ABI provider shall comply with:

7 (a) 907 KAR 1:672, Provider enrollment, disclosure, and documentation for Medicaid
8 participation;

9 (b) 907 KAR 1:673, Claims processing; and

10 (c) 902 KAR 20:078, Operations and services; group homes.

11 (3) An ABI provider shall have a governing body that shall be:

12 (a) ~~Be~~ A legally-constituted entity within the Commonwealth of Kentucky; and

13 (b) ~~Be~~ Responsible for the overall operation of the organization including establish-
14 ing policy that complies with this administrative regulation concerning the operation of
15 the agency and the health, safety and welfare of an ABI recipient served by the agency.

16 (4) An ABI provider shall:

17 (a) Unless participating in the CDO program, ensure that an ABI waiver service is
18 not provided to an ABI recipient by a staff member of the ABI provider who has one (1)
19 of the following blood relationships to the ABI recipient:

20 1. Child;

21 2. Parent;

22 3. Sibling; or

23 4. Spouse;

1 (b) Not enroll an ABI recipient for whom the ABI provider [~~they~~] cannot meet the ser-
2 vice needs; and

3 (c) Have and follow written criteria that complies with this administrative regulation
4 for determining the eligibility of an individual for admission to services.

5 (5) An ABI provider shall comply with the requirements of the Health Insurance Port-
6 ability and Accountability Act (HIPAA) of 1996, 42 U.S.C. 1320d to 1320d-8.

7 (6) An ABI provider shall meet the following requirements if responsible for the man-
8 agement of an ABI recipient's [~~recipient~~] funds:

9 (a) Separate accounting shall be maintained for each ABI recipient or for his or her
10 interest in a common trust or special account;

11 (b) Account balance and records of transactions shall be provided to the ABI recipi-
12 ent or legal representative on a quarterly basis; and

13 (c) The ABI recipient or legal representative shall be notified when a large balance is
14 accrued that may affect Medicaid eligibility.

15 (7) An ABI provider shall have a written statement of its mission and values.

16 (8) An ABI provider shall have written policy and procedures for communication and
17 interaction with a family and legal representative of an ABI recipient which shall:

18 (a) Require a timely response to an inquiry;

19 (b) Require the opportunity for interaction with direct care staff;

20 (c) Require prompt notification of any unusual incident;

21 (d) Permit visitation with the ABI recipient at a reasonable time and with due regard
22 for the ABI recipient's right of privacy;

23 (e) Require involvement of the legal representative in decision-making regarding the

1 selection and direction of the service provided; and

2 (f) Consider the cultural, educational, language and socioeconomic characteristics of
3 the ABI recipient.

4 (9) An ABI provider shall ensure the rights of an ABI recipient by:

5 (a) Making available a description of the rights and the means by which the rights
6 may [they can] be exercised, including [which shall include]:

7 1. The right to time, space, and opportunity for personal privacy;

8 2. The right to retain and use personal possessions [~~including clothing and~~];

9 [~~personal spending money~~] [~~and cigarettes~~]; and

10 3. For a residential, personal care, companion or respite provider, the right to com-
11 municate, associate and meet privately with a person of the ABI recipient's choice, in-
12 cluding:

13 a. The right to send and receive unopened mail; and

14 b. The right to private, accessible use of the telephone;

15 (b) Maintaining a grievance and appeals system; and

16 (c) [~~Establishing a human rights committee which shall:~~

17 1. ~~Include an:~~

18 a. ~~Individual with a brain injury or a family member of an individual with a brain in-~~
19 ~~jury;~~

20 b. ~~Individual not affiliated with the ABI provider; and~~

21 c. ~~Individual who has knowledge and experience in rights issues;~~

22 2. ~~Review and approve each assessment of need and plan of care with rights restric-~~
23 ~~tions at a minimum of every six (6) months; and~~

1 ~~3. Review and approve, in conjunction with the ABI recipient's team, behavior inter-~~
2 ~~vention plans that include highly restrictive procedures or contain rights restrictions;~~

3 ~~(d) Establishing a behavior intervention committee which shall:~~

4 ~~1. Include one (1) individual who has expertise in behavior intervention and is not the~~
5 ~~behavior specialist who wrote the behavior intervention plan;~~

6 ~~2. Be separate from the human rights committee; and~~

7 ~~3. Review and approve, prior to implementation and at a minimum of every six (6)~~
8 ~~months in conjunction with the ABI recipient's team, an intervention plan that includes~~
9 ~~highly restrictive procedures or contain rights restrictions; and~~

10 ~~(e)] Complying with the Americans with Disabilities Act (28 C.F.R. Part 35).~~

11 (10) An ABI provider shall maintain fiscal and service records and incident reports
12 for a minimum of six (6) years from the date that a covered service is provided and all
13 the records and reports shall be made available to the:

14 (a) ~~[The]~~ Department;

15 (b) ~~[DMHMR or its designee;~~

16 ~~(c) The]~~ ABI recipient's selected case manager;

17 (c) ~~[(d) The Commonwealth of Kentucky,]~~ Cabinet for Health and Family Services,
18 Office of Inspector General or its designee;

19 (d) ~~[(e) The United States]~~ General Accounting Office or its designee;

20 (e) ~~[(f) The Commonwealth of Kentucky,]~~ Office of the Auditor of Public Accounts or
21 its designee;

22 (f) ~~[(g) The Commonwealth of Kentucky,]~~ Office of the Attorney General or its desig-
23 nee; or

- 1 (g) [~~(h)~~The] Centers for Medicare and Medicaid Services.
- 2 (11) An ABI provider shall cooperate with monitoring visits from monitoring agents.
- 3 (12) An ABI provider shall maintain a record for each ABI recipient served that shall:
- 4 (a) Be recorded in permanent ink;
- 5 (b) Be free from correction fluid;
- 6 (c) Have a strike through each error which is initialed and dated; and
- 7 (d) Contain no blank lines in between each entry.
- 8 (13) A record of each ABI recipient who is served shall:
- 9 (a) Be cumulative;
- 10 (b) Be readily available;
- 11 (c) Contain a legend that identifies any symbol and abbreviations used in making a
- 12 record entry;
- 13 (d) Contain the following specific information:
- 14 1. The ABI recipient's name, Social Security number and Medical Assistance [~~Medi-~~
- 15 ~~aid~~] Identification Number (MAID);
- 16 2. An assessment summary relevant to the service area;
- 17 3. The [~~assessment of needs and~~] plan of care, MAP-109;
- 18 4. The crisis prevention and response plan that shall include:
- 19 a. A list containing emergency contact telephone numbers; and
- 20 b. The ABI recipient's history of any allergies with appropriate allergy alerts for se-
- 21 vere allergies;
- 22 5. The transition plan that shall include:
- 23 a. Skills to be obtained from the ABI waiver program;

1 b. A listing of the on-going formal and informal community services available to be
2 accessed; and

3 c. A listing of additional resources needed;

4 6. The training objective for any service which provides skills training to the ABI re-
5 cipient;

6 7. The ABI recipient's medication record, including a copy of the prescription or the
7 signed physician's order and the medication log if medication is administered at the ser-
8 vice site;

9 8. Legally-adequate consent for the provision of services or other treatment including
10 a consent for emergency attention which shall be located at each service site;

11 9. The Long Term Care Facilities and Home and Community Based Program Certifi-
12 cation form - MAP-350 updated at recertification; and

13 10. [~~Original and~~] Current level of care certification;

14 (e) Be maintained by the provider in a manner to ensure the confidentiality of the ABI
15 recipient's record and other personal information and to allow the ABI recipient or legal
16 representative to determine when to share the information as provided by law;

17 (f) Be secured against [~~Have the safety from~~] loss, destruction or use by an unau-
18 thorized person ensured by the provider; and

19 (g) Be available to the ABI recipient or legal guardian according to the provider's writ-
20 ten policy and procedures which shall address the availability of the record.

21 (14) An ABI provider shall:

22 (a)1. Ensure that each staff person and volunteer performing direct care or a supervi-
23 sory function[~~, prior to providing direct care to a recipient,~~] has tested negatively for tu-

1 berculosis within the past twelve (12) months as documented on test results received by
2 the provider within seven (7) days of the date of hire or date the individual began serv-
3 ing as a volunteer; and

4 2. Maintain documentation of each staff person's and, if a volunteer performs direct
5 care or a supervisory function, the volunteer's negative tuberculosis test described in
6 subparagraph 1 of this paragraph;

7 (b) For each potential employee and volunteer expected to perform direct care or a
8 supervisory function, obtain:

9 1. Prior to the date of hire or date of service as a volunteer, the results of:

10 a. A criminal record check from the Administrative Office of the Courts and equivalent
11 out-of-state agency if the individual resided, worked, or volunteered outside Kentucky
12 during the year prior to employment or volunteer service;

13 b. A nurse aide abuse registry check as described in 906 KAR 1:100; and

14 2. Within **thirty (30)**~~fourteen (14)~~ days of the date of hire or date of service as a
15 volunteer, the results of a central registry check as described in 922 KAR 1:470; [for
16 ~~each state in which the individual resided during the previous year:~~

17 ~~1. Prior to employment; and~~

18 ~~2. Prior to placement as a volunteer performing direct care staff or a supervisory~~
19 ~~function;]~~

20 (c) Not employ or permit [place] an individual to serve as a volunteer performing di-
21 rect care or a supervisory function if the individual has [with] a prior conviction of an of-
22 fense delineated in KRS 17.165(1) through (3) or prior felony conviction;

23 (d) Not **permit an employee or volunteer to transport an ABI recipient if the em-**

1 ployee or volunteer has a conviction of Driving Under the Influence (DUI) during
2 the past year; [employ or permit an individual to serve as a volunteer performing
3 direct care or a supervisory function if the individual] [who] [has a conviction of
4 Driving Under the Influence (DUI) during the past year to transport an ABI recipi-
5 ent;]

6 (e) Not employ or permit an individual to serve as a volunteer performing direct care
7 or a supervisory function if the individual [who] has a conviction of abuse or sale of ille-
8 gal drugs **during the past five (5) years;**

9 (f) Not employ or permit an individual to serve as a volunteer performing direct care
10 or a supervisory function if the individual [who] has a conviction of abuse, neglect or ex-
11 ploitation;

12 (g) Not employ or permit an individual to serve as a volunteer performing direct care
13 or a supervisory function if the individual [who] has a Cabinet for Health and Family Ser-

14 vices finding of child [substantiated fraud,] abuse or neglect pursuant to the central reg-
15 istry [allegation];

16 (h) Not employ or permit an individual to serve as a volunteer performing direct care
17 or a supervisory function if the individual is listed on the nurse aide abuse registry;

18 (i) Evaluate and document the performance of each employee upon completion of
19 the agency's designated probationary period and at a minimum of annually thereafter;
20 and

21 (j) [(i)] Conduct and document periodic and regularly-scheduled supervisory visits of
22 all professional and paraprofessional direct-service staff at the service site in order to
23 ensure that high quality, appropriate services are provided to the ABI recipient.

- 1 (15) An ABI provider shall:
- 2 (a) Have an executive director who:
- 3 1. Is qualified with a bachelor's degree from an accredited institution in administration
- 4 or a human services field; and
- 5 2. Has a minimum of one (1) year of administrative responsibility in an organization
- 6 which served an individual with a disability; and
- 7 (b) Have adequate direct-contact staff who:
- 8 1. Is eighteen (18) years of age or older;
- 9 2. Has a high school diploma or GED; and
- 10 3.a. Has a minimum of two (2) years experience in providing a service to an individ-
- 11 ual with a disability; or
- 12 b. Has successfully completed a formalized training program such as nursing facility
- 13 nurse aide training.
- 14 (16) An ABI provider shall establish written guidelines that address the health, safety
- 15 and welfare of an ABI recipient, which shall include:
- 16 (a) Ensuring the health, safety and welfare of the ABI recipient;
- 17 (b) The prohibition of firearms and ammunition at a provider-service site;
- 18 (c) Maintenance of sanitary conditions;
- 19 (d) Ensuring each site operated by the provider is equipped with:
- 20 1. Operational smoke detectors placed in strategic locations; and
- 21 2. A minimum of two (2) correctly-charged fire extinguishers placed in strategic loca-
- 22 tions, one (1) of which shall be capable of extinguishing a grease fire and have a rating
- 23 of 1A10BC;

1 (e) For a residential or structured day provider, ensuring the availability of an ample
2 supply of hot and cold running water with the water temperature at a tap used by the
3 ABI recipient not exceeding 120 [~~140~~] degrees Fahrenheit;

4 (f) Ensuring that the nutritional needs of the ABI recipient are met in accordance with
5 the current recommended dietary allowance of the Food and Nutrition Board of the Na-
6 tional Research Council or as specified by a physician;

7 (g) Unless the employee is a licensed or registered nurse, ensuring that staff admin-
8 istering medication:

9 1. Have specific training provided by a licensed medical professional and docu-
10 mented competency on cause and effect and proper administration and storage of
11 medication which shall be provided by a nurse, pharmacist or medical doctor; and

12 2. Document all medication administered, including self-administered, over-the-
13 counter drugs, on a medication log, with the date, time, and initials of the person who
14 administered the medication and ensure that the medication shall:

15 a. Be kept in a locked container;

16 b. If a controlled substance, be kept under double lock;

17 c. Be carried in a proper container labeled with medication, dosage, and time if ad-
18 ministered to the ABI recipient or self-administered at a program site other than his or
19 her residence; and

20 d. Be documented on a medication administration form and properly disposed of if
21 discontinued; and

22 (h) Policy and procedures for on-going monitoring of medication administration as
23 approved by the department.

1 (17) An ABI provider shall establish and follow written guidelines for handling an
2 emergency or a disaster which shall:

3 (a) Be readily accessible on site;

4 (b) Include an evacuation drill to be conducted and documented at least quarterly and
5 for a residential setting, scheduled to include a time when an ABI recipient is asleep;
6 and

7 (c) Mandate that the result of an evacuation drill be evaluated and modified as
8 needed.

9 (18) An ABI provider shall:

10 (a) Provide orientation for each new employee which shall include the mission, goals,
11 organization and policy of the agency;

12 (b) Require documentation of all training which shall include:

13 1. The type of training provided;

14 2. The name and title of the trainer;

15 3. The length of the training;

16 4. The date of completion; and

17 5. The signature of the trainee verifying completion;

18 (c) Ensure that each employee complete ABI training consistent with the curriculum
19 that has been approved by the department [DMHMR] prior to working independently
20 with an ABI recipient which shall include:

21 1. Required [~~Sixteen (16) hours of~~] orientation in brain injury;

22 2. Identifying and reporting abuse, neglect and exploitation;

23 3. Unless the employee is a licensed or registered nurse, first aid, which shall be pro-

1 vided by an individual certified as a trainer by the American Red Cross or other nation-
2 ally-accredited organization; and

3 4. Coronary pulmonary resuscitation which shall be provided by an individual certified
4 as a trainer by the American Red Cross or other nationally-accredited organization;

5 (d) Ensure that each employee completes six (6) hours of continuing education in
6 brain injury annually;

7 (e) Not be required to receive the training specified in paragraph (c)1 of this subsec-
8 tion if the provider is a professional who has, within the prior five (5) years, 2000 hours
9 of experience in serving a person with a primary diagnosis of a brain injury including:

10 1. An occupational therapist or occupational therapy assistant providing occupational
11 therapy;

12 2. A psychologist or psychologist with autonomous functioning providing psychologi-
13 cal services; or

14 3. A speech therapist providing speech therapy; or

15 4. A board certified behavior analyst; and

16 (f) [~~Ensure that an individual, prior to volunteering, meets the requirements specified~~
17 ~~in subsection (14)(a), (b), (c), (d) (e), (f) and (g) of this section; and~~

18 ~~(g)] Ensure that prior to the date of service as a volunteer, an individual receive [~~vol-~~
19 ~~unteer, prior to working, receives~~] training which shall include:~~

20 1. Required [~~Sixteen (16) hours of~~] orientation in brain injury as specified in para-
21 graph (c)1, 2, 3, and 4 of this subsection;

22 2. Orientation to the agency;

23 3. A confidentiality statement; and

1 4. Individualized instruction on the needs of the ABI recipient to whom the volunteer
2 will provide services.

3 (19) An ABI provider shall provide information to a case manager necessary for com-
4 pletion of a Mayo-Portland Adaptability Inventory-4 for each ABI recipient served by the
5 provider.

6 (20) A case management provider shall:

7 (a) Establish a human rights committee which shall:

8 1. Include an:

9 a. Individual with a brain injury or a family member of an individual with a brain injury;

10 b. Individual not affiliated with the ABI provider; and

11 c. Individual who has knowledge and experience in human rights issues;

12 2. Review and approve each plan of care with human rights restrictions at a minimum
13 of every six (6) months; and

14 3. Review and approve, in conjunction with the ABI recipient's team, behavior inter-
15 vention plans that include highly restrictive procedures or contain human rights restric-
16 tions; and

17 (b) Establish a behavior intervention committee which shall:

18 1. Include one (1) individual who has expertise in behavior intervention and is not the
19 behavior specialist who wrote the behavior intervention plan;

20 2. Be separate from the human rights committee; and

21 3. Review and approve, prior to implementation and at a minimum of every six (6)
22 months in conjunction with the ABI recipient's team, an intervention plan that includes
23 highly restrictive procedures or contain human rights restrictions; and

1 (c) Complete and submit a Mayo-Portland Adaptability Inventory-4 to the department
2 for each ABI recipient:

3 1. Within thirty (30) days of the recipient's admission into the ABI program;

4 2. Annually thereafter; and

5 3. Upon discharge.

6 Section 3. ABI Recipient Eligibility, Enrollment and Termination. (1) To be eligible to
7 receive a service in the ABI program~~[, an individual shall]~~:

8 (a) An individual shall be twenty-one (21) to sixty-five (65) years of age with an ABI
9 that involves cognition, behavior, or a physical function which necessitates supervised
10 and rehabilitative services;

11 (b) An individual shall be placed on the ABI waiting list in accordance with Section 7
12 of this administrative regulation;

13 (c) An application packet containing the following shall be submitted by a support
14 broker on behalf of the applicant ~~[Submit an application packet to the department which~~
15 ~~shall contain]~~:

16 1. A copy of the allocation letter ~~[received from BISU]~~;

17 2. An assessment form – MAP-351 ~~[of Needs and Plan of Care form – MAP-014]~~;

18 3. A statement for the need for long term care services which shall be signed and
19 dated by a physician on an Acquired Brain Injury Waivers Services form - MAP-10 ~~[Pre-~~
20 ~~gram Physician Certification form – MAP-4099]~~;

21 4. A Long Term Care Facilities and Home and Community Based Program Certifica-
22 tion form - MAP-350; ~~[and]~~

23 5. A Plan of Care form - MAP-109; and

1 6. The ABI Recipient's Admission Discharge DCBS Notification Form – MAP 24C;

2 (d) An individual shall [MAP-552K, Department for Community Based Services Notice
3 of Availability of Income for Long Term Care/Waiver Agency/Hospice form;

4 (d) Submit the following information to the department:

5 1. An ABI Waiver Services Program Applicant/Recipient Memorandum of Under-
6 standing form – MAP-4096;

7 2. The ABI Recipient's Admission Discharge DCBS Notification form - MAP-24B;

8 and

9 3. A Freedom of Choice of Home and Community Based Waiver Service Providers
10 form - MAP-4102;

11 (e)] Receive notification of potential funding allocated for ABI services for the individ-
12 ual in accordance with Section 7 of this administrative regulation;

13 (e) An individual shall [(f)] Meet the patient status criteria for nursing facility services
14 established in 907 KAR 1:022 including nursing facility services for a brain injury;

15 (f) An individual shall [(g)] Meet the following conditions:

16 1. Have a primary diagnosis that indicates an ABI with structural, nondegenerative
17 brain injury;

18 2. Be medically stable;

19 3. Meet Medicaid eligibility requirements established in 907 KAR 1:605;

20 4. Exhibit cognitive, behavioral, motor or sensory damage with an indication for reha-
21 ilitation and retraining potential; and

22 5. Have a rating of at least four (4) on the Rancho Los Amigos Level of Cognitive
23 Function Scale; and

1 (g) An individual shall [(h)] receive notification of approval from the department.

2 (2) An individual shall not remain in the ABI waiver program for an indefinite period of
3 time.

4 (3) The basis of an eligibility determination for participation in the ABI waiver program
5 shall be:

6 (a) The presenting problem;

7 (b) The [~~assessment of needs and~~] plan of care goal;

8 (c) The expected benefit of the admission;

9 (d) The expected outcome;

10 (e) The service required; and

11 (f) The cost effectiveness of service delivery as an alternative to nursing facility and
12 nursing facility brain injury services.

13 (4) An ABI waiver service shall not be furnished to an individual if the individual is:

14 (a) An inpatient of a hospital, nursing facility or an intermediate care facility for indi-
15 viduals with mental retardation or a developmental disability; or

16 (b) Receiving a service in another home and community based waiver program.

17 (5) The department shall make:

18 (a) An initial evaluation to determine if an individual meets the nursing facility level of
19 care criteria established in 907 KAR 1:022; and

20 (b) A determination of whether to admit an individual into the ABI waiver program.

21 (6) To maintain eligibility as an ABI recipient:

22 (a) An individual shall maintain Medicaid eligibility requirements established in 907
23 KAR 1:605; and

1 (b) A reevaluation shall be conducted at least once every twelve (12) [~~six (6)~~] months
2 to determine if the individual continues to meet the patient status criteria for nursing fa-
3 cility services established in 907 KAR 1:022.

4 (7) An ABI case management provider shall notify the local DCBS office, BISB, [~~BI-~~
5 ~~SU~~] and the department via an ABI Recipient's Admission Discharge DCBS Notification
6 form - MAP 24C [~~MAP-24B~~], if the ABI recipient is:

- 7 (a) Admitted to the ABI waiver program;
- 8 (b) Terminated from the ABI waiver program;
- 9 (c) [~~(b)~~] Temporarily discharged;
- 10 (d) [~~(e)~~] Admitted to a nursing facility; or
- 11 (e) [~~(d)~~] Changing the primary provider.

12 (8) The department may exclude an individual from receiving an ABI waiver service
13 for whom the aggregate cost of ABI waiver service would reasonably be expected to
14 exceed the cost of a nursing facility service.

15 (9) Involuntary termination and loss of an ABI waiver program placement shall be in
16 accordance with 907 KAR 1:563 and shall be initiated if:

17 (a) An individual fails to initiate an ABI waiver service within sixty (60) days of notifi-
18 cation of potential funding without good cause shown. The individual or legal represen-
19 tative shall have the burden of providing documentation of good cause, including:

- 20 1. A statement signed by the recipient or legal representative;
- 21 2. Copies of letters to providers; and
- 22 3. Copies of letters from providers;

23 (b) An ABI recipient or legal representative fails to access the required service as out-

1 lined in the ~~[assessment of need and]~~ plan of care for a period greater than sixty (60)
2 consecutive days without good cause shown.

3 1. The recipient or legal representative shall have the burden of providing documen-
4 tation of good cause including:

5 a. A statement signed by the recipient or legal representative;

6 b. Copies of letters to providers; and

7 c. Copies of letters from providers; and

8 2. Upon receipt of documentation of good cause, the department shall grant one (1)
9 extension in writing which shall be:

10 a. Sixty (60) days for an individual who does not reside in a facility; and

11 b. For an individual who resides in a facility, the length of the transition plan and con-
12 tingent upon continued active participation in the transition plan;

13 (c) An ABI recipient changes residence outside the Commonwealth of Kentucky; ~~[or]~~

14 (d) An ABI recipient does not meet the patient status criteria for nursing facility ser-
15 vices established in 907 KAR 1:022;

16 (e) An ABI recipient is no longer able to be safely served in the community; or

17 (f) The ABI recipient has reached maximum rehabilitation potential.

18 (10) Involuntary termination of a service to an ABI recipient by an ABI provider shall
19 require:

20 (a) Simultaneous notice to the department ~~[BISU]~~, the ABI recipient or legal repre-
21 sentative and the case manager at least thirty (30) ~~[ten (10)]~~ days prior to the effective
22 date of the action, which shall include:

23 1. A statement of the intended action;

- 1 2. The basis for the intended action;
- 2 3. The authority by which the action is taken; and
- 3 4. The ABI recipient's right to appeal the intended action through the provider's ap-
- 4 peal or grievance process; and
- 5 (b) The case manager in conjunction with the provider to:
- 6 1. Provide the ABI recipient with the name, address and telephone number of each
- 7 current ABI provider in the state;
- 8 2. Provide assistance to the ABI recipient in making contact with another ABI pro-
- 9 vider;
- 10 3. Arrange transportation for a requested visit to an ABI provider site;
- 11 4. Provide a copy of pertinent information to the ABI recipient or legal representative;
- 12 5. Ensure the health, safety and welfare of the ABI recipient until an appropriate
- 13 placement is secured; and
- 14 6. Provide assistance to ensure a safe and effective service transition.
- 15 (11) Voluntary termination and loss of an ABI waiver program placement shall be ini-
- 16 tiated if an ABI recipient or legal representative submits a written notice of intent to dis-
- 17 continue services to the service provider and to the department [~~DMHMR~~].
- 18 (a) An action to terminate services shall not be initiated until thirty (30) calendar days
- 19 from the date of the notice; and
- 20 (b) The ABI recipient or legal representative may reconsider and revoke the notice in
- 21 writing during the thirty (30) calendar day period.
- 22 Section 4. Covered Services. (1) An ABI waiver service shall:
- 23 (a) Be prior-authorized by the department; and

1 (b) Be provided pursuant to the [~~assessment of needs and~~] plan of care.

2 (2) The following services shall be provided to an ABI recipient by an ABI waiver pro-
3 vider:

4 (a) Case management services, which shall:

5 1. Include initiation, coordination, implementation, and monitoring of the assessment,
6 evaluation, intake and eligibility process;

7 2. Assist an ABI recipient in the identification, coordination, and facilitation of the in-
8 terdisciplinary team and interdisciplinary team meetings;

9 3. Assist an ABI recipient and the interdisciplinary team to develop **an individualized**
10 **plan of care** and update **it as necessary based on changes in the recipient's medi-**
11 **cal condition and supports [the] [assessment of needs and] [plan of care];**

12 4. Include monitoring of the delivery of services and the effectiveness of the [~~as-~~
13 ~~essment of needs]~~ and plan of care, which shall:

14 a. Be initially developed with the ABI recipient and legal representative if appointed
15 prior to the level of care determination;

16 b. Be updated within the first thirty (30) days of service and as changes or recertifica-
17 tion occurs; and

18 c. Include the ABI Plan of Care [~~Modification~~] form - MAP-109 [~~MAP-4098~~] being sent
19 to the department or its designee prior to the implementation of the effective date the
20 change occurs with the ABI recipient;

21 5. Include a transition plan that shall be developed within the first thirty (30) days of
22 service and updated as changes or recertification occurs, and shall include:

23 a. The skills or service obtained from the ABI waiver program upon transition into the

- 1 community; and
- 2 b. A listing of the community supports available upon the transition;
- 3 6. Assist an ABI recipient in obtaining a needed service outside those available by
- 4 the ABI waiver;
- 5 7. Be provided by a case manager who:
- 6 a.(i) Is a registered nurse;
- 7 (ii) Is a licensed practical nurse;
- 8 (iii) Is an individual who has a bachelor's or master's degree in a human services field
- 9 who meets all applicable requirements of his or her particular field including a degree in
- 10 psychology, sociology, social work, rehabilitation counseling, or occupational therapy;
- 11 (iv) Is an independent case manager; or
- 12 (v) Is employed by a free-standing case management agency [~~or an agency that~~
- 13 **provides another ABI service**];
- 14 b. Has completed case management training that is consistent with the curriculum
- 15 that has been approved by the department [~~DMHMR~~] prior to providing case manage-
- 16 ment services;
- 17 c. Shall provide an ABI recipient and legal representative with a listing of each avail-
- 18 able ABI provider in the service area;
- 19 d. Shall maintain documentation signed by an ABI recipient or legal representative of
- 20 informed choice of an ABI provider and of any change to the selection of an ABI pro-
- 21 vider and the reason for the change;
- 22 e. Shall provide a distribution of the crisis prevention and response plan, transition
- 23 plan, [~~assessment of needs and~~] plan of care, and other documents within the first thirty

1 (30) days of the service to the chosen ABI service provider and as information is up-
2 dated;

3 ~~f. [Shall not provide case management to more than forty (40) individuals at a given~~
4 ~~time irrespective of the payor source;~~

5 ~~g. Shall not be a provider of other direct services;~~

6 ~~h.] Shall provide twenty-four (24) hour telephone access to an ABI recipient and cho-~~
7 ~~sen ABI provider;~~

8 ~~g. [i.] Shall work in conjunction with an ABI provider selected by an ABI recipient to~~
9 ~~develop a crisis prevention and response plan which shall be:~~

10 (i) Individual-specific; and

11 (ii) Updated as a change occurs and at each recertification;

12 ~~h. [j.] Shall assist an ABI recipient in planning resource use and assuring protection of~~
13 ~~resources;~~

14 ~~i. [k.] Shall conduct two (2) face-to-face meetings with an ABI recipient within a cal-~~
15 ~~endar month occurring at a covered service site no more than fourteen (14) days apart,~~
16 ~~with one (1) visit quarterly at the ABI recipient's residence;~~

17 ~~j. [l.] Shall visit an ABI recipient who resides outside of his or her own or family's~~
18 ~~home on a monthly basis;~~

19 ~~k. [m.] Shall ensure twenty-four (24) hour availability of services; and~~

20 ~~l. [n.] Shall ensure that the ABI recipient's health, welfare and safety needs are met;~~
21 ~~and~~

22 ~~[o. Shall be supervised by an individual who is:~~

23 ~~(i) A certified case manager, a certified disability management specialist, a certified~~

- 1 ~~rehabilitation registered nurse, or a certified life care planner; and~~
- 2 ~~(ii) Employed by or under contract with the case management provider agency; and]~~
- 3 8. Be documented by a detailed staff note which shall include:
- 4 a. The ABI recipient's health, safety and welfare;
- 5 b. Progress toward outcomes identified in the approved ~~[assessment of needs and]~~
- 6 plan of care;
- 7 c. The date of the service;
- 8 d. Beginning and ending time; and
- 9 e. The signature, date of signature and title of the individual providing the service;
- 10 (b) Behavior programming which shall:
- 11 1. Be the systematic application of techniques and methods to influence or change a
- 12 behavior in a desired way;
- 13 2. Include a functional analysis of the ABI recipient's behavior which shall include:
- 14 a. An evaluation of the impact of an ABI on cognition and behavior;
- 15 b. An analysis of potential communicative intent of the behavior;
- 16 c. The history of reinforcement for the behavior;
- 17 d. Critical variables that precede the behavior;
- 18 e. Effects of different situations on the behavior; and
- 19 f. A hypothesis regarding the motivation, purpose and factors which maintain the be-
- 20 havior;
- 21 3. Include the development of a behavioral support plan which shall:
- 22 a. Be developed by the behavioral specialist;
- 23 b. Not be implemented by the behavior specialist who wrote the plan ~~[Be imple-~~

- 1 ~~mented by another ABI provider];~~
- 2 c. Be revised as necessary;
- 3 d. Define the techniques and procedures used;
- 4 e. Include the hierarchy of behavior interventions ranging from the least to the most
- 5 restrictive;
- 6 f. Reflect the use of positive approaches; and
- 7 g. Prohibit the use of **prone or supine restraint**, corporal punishment, seclusion,
- 8 verbal abuse, and any procedure which denies private communication, requisite sleep,
- 9 shelter, bedding, food, drink, or use of a bathroom facility;
- 10 4. Include the provision of training to other ABI providers concerning implementation
- 11 of the behavioral intervention plan;
- 12 5. Include the monitoring of an ABI recipient's progress which shall be accomplished
- 13 through:
- 14 a. The analysis of data concerning the frequency, intensity, and duration of a behav-
- 15 ior; and
- 16 b. ~~[The] Reports [of an ABI provider]~~ involved in implementing the behavioral service
- 17 plan;
- 18 6. Be provided by a behavior specialist who shall:
- 19 a.(i) Be a licensed psychologist;
- 20 (ii) Be a certified psychologist with autonomous functioning;
- 21 (iii) Be a licensed psychological associate;
- 22 (iv) Be a psychiatrist;
- 23 (v) Be a licensed clinical social worker;

- 1 (vi) Be a clinical nurse specialist with a master's degree in psychiatric nursing or re-
- 2 habilitation nursing; [or]
- 3 (vii) Be an advanced registered nurse practitioner (ARNP);
- 4 (viii) Be a board certified behavior analyst; or
- 5 (ix) Be a licensed professional clinical counselor; and
- 6 b. Have at least one (1) year of behavior specialist experience or provide documenta-
- 7 tion of completed coursework regarding learning and behavior principles and tech-
- 8 niques; and
- 9 7. Be documented by a detailed staff note which shall include:
- 10 a. The date of the service;
- 11 b. The beginning and ending time; ~~and~~
- 12 c. The signature, date and title of the behavioral specialist; and
- 13 d. A summary of data analysis and progress of the individual toward meeting goals of
- 14 the services;
- 15 (c) Companion services which shall:
- 16 1. Include a nonmedical service, ~~[or]~~⁷ supervision **or socialization as indicated in**
- 17 **the recipient's plan of care**~~[or socialization]~~;
- 18 2. Include assisting with but not performing meal preparation, laundry and shopping;
- 19 3. Include light housekeeping tasks which are incidental to the care and supervision
- 20 of an ABI waiver service recipient;
- 21 4. Include services provided according to the approved ~~[assessment of needs and]~~
- 22 plan of care which are therapeutic and not diversional in nature;
- 23 5. Include accompanying and assisting an ABI recipient while utilizing transportation

1 services;

2 6. Include documentation by a detailed staff note which shall include:

3 a. Progress toward goal and objectives identified in the approved [assessment of
4 needs] and plan of care;

5 b. The date of the service;

6 c. Beginning and ending time; and

7 d. The signature, date and title of the individual providing the service;

8 7. Not be provided to an ABI recipient who receives community residential services;

9 and

10 8. Be provided by:

11 a. A home health agency licensed and operating in accordance with 902 KAR

12 20:081;

13 b. A community mental health center licensed and operating in accordance with 902

14 KAR 20:091;

15 c. A group home licensed and operating in accordance with 902 KAR 20:078;

16 d. A community habilitation program certified by the department; or

17 e. A staffed residence certified by the department;

18 (d) Community residential services which shall:

19 1. Include twenty-four (24) hour supervision in:

20 a. A community mental health center licensed and operating in accordance with 902

21 KAR 20:091;

22 b. A staffed residence that is certified by the department which shall not have greater

23 than three (3) ABI recipients in a home rented or owned by the ABI provider; or

- 1 c. A group home which shall be licensed and operating in accordance with 902 KAR
- 2 20:078;
- 3 2. Not include the cost of room and board;
- 4 3. Be available to an ABI recipient who:
- 5 a. Does not reside with a caregiver;
- 6 b. Is residing with a caregiver but demonstrates maladaptive behavior that places him
- 7 or her at significant risk of injury or jeopardy if the caregiver is unable to effectively
- 8 manage the behavior or the risk it presents, resulting in the need for removal from the
- 9 home to a more structured setting; or
- 10 c. Demonstrates behavior that may result in potential legal problems if not amelio-
- 11 rated;
- 12 4. Utilize a modular home only if the:
- 13 a. Wheels are removed;
- 14 b. Home is anchored to a permanent foundation; and
- 15 c. Windows are of adequate size for an adult to use as an exit in an emergency;
- 16 5. ~~[If provided via a modular home, have 180 days October 1, 2003 to meet the~~
- 17 ~~modular home requirements;~~
- 18 ~~6.]~~ Not utilize a motor home;
- 19 6. ~~[7.]~~ Provide a sleeping room which ensures that an ABI recipient:
- 20 a. Does not share a room with an individual of the opposite gender who is not the ABI
- 21 recipient's spouse;
- 22 b. Does not share a room with an individual who presents a potential threat; and
- 23 c. Has a separate bed equipped with substantial springs, a clean and comfortable

1 mattress and clean bed linens as required for the ABI recipient's health and comfort;

2 7. [~~8.~~] Provide assistance with daily living skills which shall include:

3 a. Ambulating;

4 b. Dressing;

5 c. Grooming;

6 d. Eating;

7 e. Toileting;

8 f. Bathing;

9 g. Meal planning, grocery shopping and preparation;

10 h. Laundry;

11 i. Budgeting and financial matters;

12 j. Home care and cleaning;

13 k. Social skills training;

14 l. Reduction or elimination of a maladaptive behavior;

15 m. Instruction in leisure skills; and

16 n. Instruction in self medication;

17 8.[~~9.~~] Provide service and training to obtain the outcomes of the ABI recipient as

18 identified in the approved [~~assessment of needs and~~] plan of care;

19 9.[~~10.~~] Provide or arrange for transportation to services, activities and medical ap-

20 pointments as needed;

21 10.[~~11.~~] Include participation in medical appointments and follow-up care as directed

22 by the medical staff; and

23 11.[~~12.~~] Be documented by a detailed staff note which shall include:

- 1 a. Progress toward goal and objectives identified in the approved [~~assessment of~~
2 ~~needs and~~] plan of care;
- 3 b. The date of the service;
- 4 c. Beginning and ending time; and
- 5 d. The signature, date and title of the individual providing the service;
- 6 (e) Counseling services which:
 - 7 1. Shall be designed to help an ABI waiver service recipient resolve personal issues
8 or interpersonal problems resulting from his or her ABI;
 - 9 2. Shall assist a family member in implementing an ABI waiver service recipient's ap-
10 proved [~~assessment of needs and~~] plan of care;
 - 11 3. In a severe case, shall be provided as an adjunct to behavioral programming;
 - 12 4. Shall include substance abuse or chemical dependency treatment;
 - 13 5. Shall include building and maintaining healthy relationships;
 - 14 6. Shall develop social skills or the skills to cope with and adjust to the brain injury;
 - 15 7. Shall increase knowledge and awareness of the effects of an ABI;
 - 16 8. May include a group therapy service if the service is:
 - 17 a. Provided to a maximum of twelve (12) ABI recipients no more than two (2) times a
18 week not to exceed ninety (90) minutes; and
 - 19 b. Included in the recipient's approved [~~assessment of needs and~~] plan of care for:
 - 20 (i) Substance abuse or chemical dependency treatment;
 - 21 (ii) Building and maintaining healthy relationships;
 - 22 (iii) Developing social skills;
 - 23 (iv) Developing skills to cope with and adjust to a brain injury, including the use of

- 1 cognitive remediation strategies consisting of the development of compensatory mem-
2 ory and problem solving strategies, and the management of impulsivity; and
- 3 (v) Increasing knowledge and awareness of the effects of the acquired brain injury
4 upon the ABI recipient's functioning and social interactions;
- 5 9. Shall be provided by:
- 6 a. A psychiatrist;
- 7 b. A licensed psychologist;
- 8 c. A certified psychologist with autonomous functioning;
- 9 d. A licensed psychological associate;
- 10 e. A licensed clinical social worker;
- 11 f. A clinical nurse specialist with a master's degree in psychiatric nursing;
- 12 g. An advanced registered nurse practitioner (ARNP); [øf]
- 13 h. A certified alcohol and drug counselor;
- 14 i. A licensed marriage and family therapist; or
- 15 j. A licensed professional clinical counselor; and
- 16 10. Shall be documented by a detailed staff note which shall include:
- 17 a. Progress toward the goals and objectives established in the plan of care;
- 18 b. The date of the service;
- 19 c.~~[b-]~~ The beginning and ending time; and
- 20 d.~~[c-]~~ The signature, date of signature and title of the individual providing the service;
- 21 (f) Occupational therapy which shall be:
- 22 1. A physician-ordered evaluation of an ABI recipient's level of functioning by apply-
23 ing diagnostic and prognostic tests;

- 1 2. Physician-ordered services in a specified amount and duration to guide an ABI re-
- 2 cipient in the use of therapeutic, creative, and self-care activities to assist the ABI re-
- 3 cipient in obtaining the highest possible level of functioning;
- 4 3. Exclusive of maintenance or the prevention of regression;
- 5 4. Provided by an occupational therapist or an occupational therapy assistant if su-
- 6 pervised by a licensed occupational therapist in accordance with 201 KAR 28:130; and
- 7 5. Documented by a detailed staff note which shall include:
- 8 a. Progress toward goal and objectives identified in the approved [~~assessment of~~
- 9 ~~needs and~~] plan of care;
- 10 b. The date of the service;
- 11 c. Beginning and ending time; and
- 12 d. The signature, date and title of the individual providing the service;
- 13 (g) Personal care services which shall:
- 14 1. Include the retraining of an ABI waiver service recipient in the performance of an
- 15 activity of daily living by using repetitive, consistent and ongoing instruction and guid-
- 16 ance;
- 17 2. Be provided by:
- 18 a. An adult day health care center licensed and operating in accordance with 902
- 19 KAR 20:066; or
- 20 b. A home health agency licensed and operating in accordance with 902 KAR
- 21 20:081;
- 22 3. Include the following activities of daily living:
- 23 a. Eating, bathing, dressing or personal hygiene;

- 1 b. Meal preparation; and
- 2 c. Housekeeping chores including bed-making, dusting and vacuuming;
- 3 4. Be documented by a detailed staff note which shall include:
- 4 a. Progress toward goal and objectives identified in the approved [~~assessment of~~
- 5 ~~needs and~~] plan of care;
- 6 b. The date of the service;
- 7 c. Beginning and ending time; and
- 8 d. The signature, date and title of the individual providing the service; and
- 9 5. Not be provided to an ABI recipient who receives community residential services;
- 10 (h) A respite service which shall:
- 11 1. Be provided only to an ABI recipient unable to administer self-care;
- 12 2. Be provided by a:
- 13 a. Nursing facility;
- 14 b. Community mental health center;
- 15 c. Home health agency;
- 16 d. Group home agency;
- 17 e. Staffed residence agency; or
- 18 f. Community habilitation program;
- 19 3. Be provided on a short-term basis due to absence or need for relief of an individual
- 20 providing care to an ABI recipient;
- 21 4. Be limited to 168 hours in a six (6) month period unless an individual's normal
- 22 caregiver is unable to provide care due to a:
- 23 a. Death in the family;

- 1 b. Serious illness; or
- 2 c. Hospitalization;
- 3 5. Not be provided to an ABI recipient who receives community residential services;
- 4 6. Not include the cost of room and board if provided in a nursing facility; and
- 5 7. Be documented by a detailed staff note which shall include:
 - 6 a. The date of the service;
 - 7 b. The beginning and ending time; and
 - 8 c. The signature, date of signature and title of the individual providing the service;
- 9 (i) Speech, hearing and language services which shall be:
 - 10 1. A physician-ordered evaluation of an ABI recipient with a speech, hearing or lan-
11 guage disorder;
 - 12 2. A physician-ordered habilitative service in a specified amount and duration to as-
13 sist an ABI recipient with a speech and language disability in obtaining the highest pos-
14 sible level of functioning;
 - 15 3. Exclusive of maintenance or the prevention of regression;
 - 16 4. Provided by a speech therapist; and
 - 17 5. Documented by a detailed staff note which shall include:
 - 18 a. Progress toward goals and objectives identified in the approved [~~assessment of~~
19 ~~needs and~~] plan of care;
 - 20 b. The date of the service;
 - 21 c. The beginning and ending time; and
 - 22 d. The signature, date and title of the individual providing the service;
 - 23 (j) Structured day program services which shall:

- 1 1. Be provided by:
 - 2 a. An adult day health care center which is certified by the department and licensed
 - 3 and operating in accordance with 902 KAR 20:066;
 - 4 b. An outpatient rehabilitation facility which is certified by the department and li-
 - 5 censed and operating in accordance with 902 KAR 20:190;
 - 6 c. A community mental health center licensed and operating in accordance with 902
 - 7 KAR 20:091;
 - 8 d. A community habilitation program certified by the department;
 - 9 e. A sheltered employment program certified by the department; or
 - 10 f. A therapeutic rehabilitation program certified by the department;
- 11 2. Be to rehabilitate, retrain and reintegrate an individual into the community;
- 12 3. Not exceed a staffing ratio of five (5) ABI recipients per one (1) staff person, unless
- 13 an ABI recipient requires individualized special service;
- 14 4. Include the following services:
 - 15 a. **Social skills training related to problematic behaviors identified in the recipi-**
 - 16 **ent's plan of care;~~[Social skills training;]~~**
 - 17 **b.**~~[b.]~~ Sensory or motor development;
 - 18 **c.**~~[b.]~~~~[c.]~~ Reduction or elimination of a maladaptive behavior;
 - 19 **d.**~~[c.]~~~~[d.]~~ Prevocational; or
 - 20 **e.**~~[d.]~~~~[e.]~~ Teaching concepts and skills to promote independence including:
 - 21 (i) Following instructions;
 - 22 (ii) Attendance and punctuality;
 - 23 (iii) Task completion;

- 1 (iv) Budgeting and money management;
- 2 (v) Problem solving; or
- 3 (vi) Safety;
- 4 5. Be provided in a nonresidential setting;
- 5 6. Be developed in accordance with an ABI waiver service recipient's overall ap-
- 6 proved [~~assessment of needs and~~] plan of care;
- 7 7. Reflect the recommendations of an ABI waiver service recipient's interdisciplinary
- 8 team;
- 9 8. Be appropriate:
 - 10 a. Given an ABI waiver service recipient's age, level of cognitive and behavioral func-
 - 11 tion and interest;
 - 12 b. Given an ABI waiver service recipient's ability prior to and since his or her injury;
 - 13 and
 - 14 c. According to the approved [~~assessment of needs and~~] plan of care and be thera-
 - 15 peutic in nature and not diversional;
- 16 9. Be coordinated with occupational, speech, or other rehabilitation therapy included
- 17 in an ABI waiver service recipient's [~~assessment of needs and~~] plan of care;
- 18 10. Provide an ABI waiver service recipient with an organized framework within which
- 19 to function in his or her daily activities;
- 20 11. Entail frequent assessments of an ABI waiver service recipient's progress and be
- 21 appropriately revised as necessary; and
- 22 12. Be documented by a detailed staff note which shall include:
 - 23 a. Progress toward goal and objectives identified in the approved [~~assessment of~~

- 1 ~~needs and~~] plan of care;
- 2 b. The date of the service;
- 3 c. The beginning and ending time; and
- 4 d. The signature, date and title of the individual providing the service;
- 5 (k) Supported employment which shall be:
- 6 1. Intensive, ongoing services for an ABI recipient to maintain paid employment in an
- 7 environment in which an individual without a disability is employed;
- 8 2. Provided by a:
- 9 a. Supported employment provider;
- 10 b. Sheltered employment provider; or
- 11 c. Structured day program provider;
- 12 3. Provided one (1) on one (1);
- 13 4. Unavailable under a program funded by either the Rehabilitation Act of 1973 (29
- 14 U.S.C. Chapter 16) or Pub.L. 99-457 (34 C.F.R. Parts 300 to 399), proof of which shall
- 15 be documented in the ABI recipient's file;
- 16 5.~~[4.]~~ Limited to forty (40) hours per week alone or in combination with structured day
- 17 services;
- 18 6.~~[5.]~~ An activity needed to sustain paid work by an ABI recipient receiving waiver
- 19 services including supervision and training;
- 20 7.~~[6.]~~ Exclusive of work performed directly for the supported employment provider;
- 21 and
- 22 8.~~[7.]~~ Documented by a time and attendance record which ~~[with]~~ shall include:
- 23 a. Progress towards the goals and objectives identified in the plan of care;

- 1 b. The date of service;
- 2 c.~~[b-]~~ The beginning and ending time; and
- 3 d.~~[c-]~~ The signature, date and title of the individual providing the service;
- 4 (l) Specialized medical equipment and supplies which shall:
- 5 1. Include durable and nondurable medical equipment, devices, controls, appliances
- 6 or ancillary supplies;
- 7 2. Enable an ABI recipient to increase his ability to perform daily living activities or to
- 8 perceive, control or communicate with the environment;
- 9 3. Be ordered by a physician and submitted on a Request for Equipment form - MAP-
- 10 95 ~~[form]~~ and include three (3) estimates for vision and hearing;
- 11 4. Include equipment necessary to the proper functioning of specialized items;
- 12 5. Not be available through the department's durable medical equipment, vision or
- 13 hearing programs;
- 14 6. Not be necessary for life support;
- 15 7. Meet applicable standards of manufacture, design and installation; and
- 16 8. Exclude those items which are not of direct medical or remedial benefit to an ABI
- 17 recipient; or
- 18 (m) Environmental modifications which shall:
- 19 1. Be provided in accordance with applicable state and local building codes;
- 20 2. Be provided to an ABI recipient if:
- 21 a. Ordered by a physician;
- 22 b. Prior-authorized by the BISB ~~[department]~~;
- 23 c. Submitted on a Request for Equipment form - MAP-95 ~~[form]~~ by a case manager

1 or support broker;

2 d. Specified in an ABI recipient's approved [~~assessment of needs and~~] plan of care;

3 e. Necessary to enable an ABI recipient to function with greater independence within

4 his or her home; and

5 f. Without the modification, the ABI recipient would require institutionalization;

6 3. Not include a vehicle modification or an electronic monitoring system;

7 4. Be limited to no more than \$2000 [~~\$1000~~] for an ABI recipient in a twelve (12) [~~six~~

8 ~~(6)~~] month period; and

9 5. If entailing:

10 a. Electrical work, be provided by a licensed electrician; or

11 b. Plumbing work, be provided by a licensed plumber.

12 Section 5. Exclusions of the Acquired Brain Injury Waiver Program. A condition in-
13 cluded in the following list shall not be considered an acquired brain injury requiring
14 specialized rehabilitation:

15 (1) A stroke treatable in a nursing facility providing routine rehabilitation services;

16 (2) A spinal cord injury for [~~in~~] which there is no known or obvious injury to the inter-
17 cranial central nervous system;

18 (3) Progressive dementia or another [~~mentally impairing~~] condition related to mental
19 impairment that is of a chronic degenerative nature, including [~~such as~~] senile dementia,
20 organic brain disorder, Alzheimer's Disease, alcoholism or another addiction;

21 (4) A depression or a psychiatric disorder in which there is no known or obvious cen-
22 tral nervous system damage;

23 (5) A birth defect;

- 1 (6) Mental retardation without an etiology to an acquired brain injury; [øf]
- 2 (7) A condition which causes an individual to pose a level of danger or an aggression
- 3 which is unable to be managed and treated in a community; or
- 4 (8) Determination that the recipient has met his or her maximum rehabilitation poten-
- 5 tial.

6 Section 6. Incident Reporting Process. (1) An incident shall be documented on an in-

7 cident report form.

8 (2) There shall be three (3) classes of incidents as follows:

9 (a) A Class I incident which shall:

- 10 1. Be minor in nature and not create a serious consequence;
- 11 2. Not require an investigation by the provider agency;
- 12 3. Be reported to the case manager or support broker within twenty-four (24) hours;
- 13 4. Be reported to the guardian as directed by the guardian; and
- 14 5. Be retained on file at the provider and case management or support brokerage
- 15 [~~manager~~] agency;

16 (b) A Class II incident which shall:

- 17 1. **a. Be serious in nature;**
- 18 **b. Include a medication error; or**
- 19 **c. Involve the use of a physical or chemical restraint;**
- 20 **2. Require an investigation which shall be initiated by the provider agency**
- 21 **within twenty-four (24) hours of discovery and shall involve the case manager;**
- 22 **and**
- 23 **3. Be reported to the following by the provider agency:**

1 a. The case manager or support broker within twenty-four (24) hours of discov-
2 ery;

3 b. The guardian within twenty-four (24) hours of discovery; and

4 c. BISB within twenty-four (24) hours of discovery followed by a complete writ-
5 ten report of the incident investigation and follow-up within ten (10) calendar days
6 of discovery; and

7 (c) A Class III incident which shall:

8 1.a. Be grave in nature;

9 b. Involve suspected abuse, neglect or exploitation;

10 c. Involve a medication error which requires a medical intervention; or

11 d. Be a death; [Be serious in nature;

12 2. ~~Include a medication error;~~

13 3. ~~Involve the use of a physical or chemical restraint;~~

14 4. ~~Require an investigation which shall be initiated by the provider agency~~
15 ~~within twenty-four (24) hours of discovery and shall involve the case manager;~~
16 and

17 5.][3.] [Be reported to the following by the provider agency:

18 a. ~~The case manager or support broker within twenty-four (24) hours of discov-~~
19 ~~ery;~~

20 ~~b. The guardian within twenty-four (24) hours of discovery; and~~

21 ~~c. BISB][BISU][, within twenty-four (24) hours of discovery followed by a com-~~
22 ~~plete written report of the incident investigation and follow-up within ten (10) cal-~~
23 ~~endar days of discovery; and~~

1 **(c) A Class III incident which shall:**

2 **~~1. Be Grave in nature;~~**

3 **~~2. Involvement suspected abuse, neglect or exploitation;~~**

4 **~~3. Involvement a medication error which requires a medical intervention;~~**

5 **~~4. Be a death;~~**

6 **2.[5.]** Be immediately investigated by the provider agency, and the investigation shall
7 involve the case manager or support broker; and

8 **3.[6.]**~~[3.]~~ Be reported ~~[to the following]~~ by the provider agency to:

9 a. The case manager or support broker within eight (8) hours of discovery;

10 b. DCBS, immediately upon discovery, if involving suspected abuse, neglect, or ex-
11 ploitation in accordance with KRS Chapter 209;

12 c. The guardian within eight (8) hours of discovery; and

13 d. BISB [BISU], within eight (8) hours of discovery, followed by a complete-written re-
14 port of the incident investigation and follow-up within seven (7) calendar days of discov-
15 ery. If an incident occurs after 5 p.m. EST on a weekday or occurs on a weekend or
16 holiday, notification to BISB [BISU] shall occur on the following business day. The fol-
17 lowing documentation with a complete written report shall be submitted for a death:

18 (i) A current plan of care;

19 (ii) A current list of prescribed medications including PRN medications;

20 (iii) A current crisis plan;

21 (iv) Medication Administration Review (MAR) forms for the current and previous
22 month;

23 (v) Staff notes from the current and previous month including details of physician and

1 emergency room visits;

2 (vi) Any additional information requested by the department;

3 (vii) A coroner's report; and

4 (viii) If performed, an autopsy report.

5 Section 7. ABI Waiting List. (1) An individual between the age of twenty-one (21) to
6 sixty-five (65) years of age applying for an ABI waiver service shall be placed on a
7 statewide waiting list which shall be maintained by the department.

8 (2) In order to be placed on the ABI waiting list, an individual shall submit to the de-
9 partment a completed Acquired Brain Injury Waiver Services Program Application form -
10 MAP-26, and an Acquired Brain Injury Waiver Services [~~Program Physician Certifica-~~
11 ~~tion~~] form - MAP-10 [~~MAP-4099~~].

12 (3) The order of placement on the waiting list shall be determined by chronological
13 date of receipt of the Acquired Brain Injury Waiver Services [~~Program Physician Certifi-~~
14 ~~cation~~] form - MAP-10 [~~MAP-4099~~] and by category of need of the individual as follows:

15 (a) Emergency. An immediate service is indicated as determined by:

16 1. The individual currently is demonstrating behavior related to his acquired brain in-
17 jury that places the recipient or caregiver or others at risk of significant harm; or

18 2. The individual is demonstrating behavior related to his acquired brain injury which
19 has resulted in his arrest; or

20 (b) Nonemergency.

21 (4) In determining chronological status, the original date of receipt of the Acquired
22 Brain Injury Waiver Services Program Application form - MAP-26 and the Acquired
23 Brain Injury Waiver Services [~~Program Physician Certification~~] form - MAP-10 [~~MAP-~~

1 4099] shall be maintained and not change if an individual is moved from one (1) cate-
2 gory of need to another.

3 (5) A written statement by a physician or other qualified mental health professional
4 shall be required to support the validation of risk of significant harm to a recipient or
5 caregiver.

6 (6) Written documentation by law enforcement or court personnel shall be required to
7 support the validation of a history of arrest.

8 (7) If multiple applications are received on the same date, a lottery shall be held to
9 determine placement on the waiting list within each category of need.

10 (8) A written notification of placement on the waiting list shall be mailed to the individ-
11 ual or his legal representative and case management provider if identified.

12 (9) Maintenance of the ABI waiting list shall occur as follows:

13 (a) The department shall, at a minimum, annually update the waiting list during the
14 birth month of an individual;

15 (b) An individual or his legal representative and his case management provider shall
16 be contacted in writing to verify the accuracy of the information on the waiting list and
17 his continued desire to pursue placement in the ABI program; and

18 (c) The requested data shall be received by the department within thirty (30) days
19 from the date on the written notice cited in subsection (8) of this section.

20 (10) Reassignment of category of need shall be completed based on the updated in-
21 formation and validation process.

22 (11) An individual or legal representative may submit a request for consideration of
23 movement from one category of need to another at any time an individual's status

1 changes.

2 (12) An individual shall be removed from the ABI waiting list if:

3 (a) After a documented attempt, the department is unable to locate the individual or
4 his legal representative;

5 (b) The individual is deceased;

6 (c) The individual or his legal representative refuses the offer of ABI placement for
7 services and does not request to be maintained on the waiting list; or

8 (d) An ABI placement for services offer is refused by the individual or legal represen-
9 tative and he or she does not, without good cause, complete the Acquired Brain Injury
10 Waiver Services Program Application form - MAP-26 application within sixty (60) days
11 of the placement allocation date.

12 1. The individual or his legal representative shall have the burden of providing docu-
13 mentation of good cause including:

14 a. A signed statement by the individual or the legal representative;

15 b. Copies of letters to providers; and

16 c. Copies of letters from providers.

17 2. Upon receipt of documentation of good cause, the department shall grant one (1)
18 sixty (60) day extension in writing.

19 (13) If an individual is removed from the ABI waiting list, written notification shall be
20 mailed by the department to the individual or his legal representative and the ABI case
21 manager.

22 (14) The removal of an individual from the ABI waiting list shall not prevent the sub-
23 mittal of a new application at a later date.

1 (15) Potential funding allocated for services for an individual shall be based upon:

2 (a) The individual's category of need; and

3 (b) The individual's chronological date of placement on the waiting list.

4 Section 8. Consumer Directed Option.

5 (1) Covered services and supports provided to an ABI recipient participating in CDO
6 shall include a home and community support service which shall:

7 (a) Be available only under the consumer directed option;

8 (b) Be provided in the consumer's home or in the community;

9 (c) Be based upon therapeutic goals and not diversional in nature;

10 (d) Not be provided to an individual if the same or similar service is being provided to
11 the individual via non-CDO ABI services; and

12 (e)1. Be respite for the primary caregiver; or

13 2. Be supports and assistance related to chosen outcomes to facilitate independence
14 and promote integration into the community for an individual residing in his or her own
15 home or the home of a family member and may include:

16 a. Routine household tasks and maintenance;

17 b. Activities of daily living;

18 c. Personal hygiene;

19 d. Shopping;

20 e. Money management;

21 f. Medication management;

22 g. Socialization;

23 h. Relationship building;

1 i. Meal planning;

2 j. Meal preparation;

3 k. Grocery shopping; or

4 l. Participation in community activities.

5 (2) To be covered, a CDO service shall be specified in a consumer's plan of care.

6 (3) Reimbursement for a CDO service shall not exceed the department's allowed re-
7 imbursement for the same or a similar service provided in a non-CDO ABI setting.

8 (4) A consumer, including a married consumer, shall choose providers and the choice
9 of CDO provider shall be documented in his or her plan of care.

10 (5) A consumer may designate a representative to act on the consumer's behalf. The
11 CDO representative shall:

12 (a) Be twenty-one (21) years of age or older;

13 (b) Not be monetarily compensated for acting as the CDO representative or providing
14 a CDO service; and

15 (c) Be appointed by the consumer on a MAP-2000 form.

16 (6) A consumer may voluntarily terminate CDO services by completing a MAP-2000
17 and submitting it to the support broker.

18 (7) The department shall immediately terminate a consumer from CDO services if:

19 ~~(a)~~ imminent danger to the consumer's health, safety, or welfare exists. ~~;~~ ~~or~~

20 ~~(b) The consumer fails to pay patient liability.~~

21 (8) The department may terminate a consumer from CDO services if it determines
22 that the consumer's CDO provider has not adhered to the plan of care.

23 (9) Prior to a consumer's termination from CDO services, the support broker shall:

- 1 (a) Notify the assessment or reassessment service provider of potential termination;
- 2 (b) Assist the consumer in developing a resolution and prevention plan;
- 3 (c) Allow at least thirty (30), but no more than ninety (90), days for the consumer to
4 resolve the issue, develop and implement a prevention plan, or designate a CDO repre-
5 sentative;
- 6 (d) Complete and submit to the department a MAP-2000 form terminating the con-
7 sumer from CDO services if the consumer fails to meet the requirements in paragraph
8 (c) of this subsection; and
- 9 (e) Assist the consumer in transitioning back to traditional ABI services.
- 10 (10) Upon an involuntary termination of CDO services, the department shall:
- 11 (a) Notify a consumer in writing of its decision to terminate the consumer's CDO par-
12 ticipation; and
- 13 (b) Except in a case where a consumer failed to patient liability, inform the consumer
14 of the right to appeal the department's decision in accordance with Section 9 of this ad-
15 ministrative regulation.
- 16 (11) A CDO provider:
- 17 (a) Shall be selected by the consumer;
- 18 (b) Shall submit a completed Kentucky Consumer Directed Option Employee Pro-
19 vider Contract to the support broker;
- 20 (c) Shall be eighteen (18) years of age or older;
- 21 (d) Shall be a citizen of the United States with a valid Social Security number or pos-
22 sess a valid work permit if not a U.S. citizen;
- 23 (e) Shall be able to communicate effectively with the consumer, consumer represen-

1 tative, or family;

2 (f) Shall be able to understand and carry out instructions;

3 (g) Shall be able to keep records as required by the consumer;

4 (h) Shall submit to a criminal background check conducted by the Administrative Of-
5 vice of the Courts if the individual is a Kentucky resident and equivalent out-of-state
6 agency if the individual resided or worked outside Kentucky during the year prior to se-
7 lection as a provider of CDO services;

8 (i) Shall submit to a check of the central registry maintained in accordance with 922
9 KAR 1:470 and not be found on the registry;

10 1. A consumer may employ a provider prior to a central registry check result being
11 obtained for up to **thirty (30)[fourteen (14)]** days; and

12 2. If a consumer does not obtain a central registry check result within **thirty**
13 **(30)[fourteen (14)]** days of employing a provider, the consumer shall cease employ-
14 ment of the provider until a favorable result is obtained;

15 (j) Shall submit to a check of the nurse aid abuse registry maintained in accordance
16 with 906 KAR 1:100 and not be found on the registry;

17 (k) Shall not have pled guilty or been convicted of committing a sex crime or violent
18 crime as defined in KRS 17.165 (1) through (3);

19 (l) Shall complete training on the reporting of abuse, neglect or exploitation in accor-
20 dance with KRS 209.030 or KRS 620.030 and on the needs of the consumer;

21 (m) Shall be approved by the department;

22 (n) Shall maintain and submit timesheets documenting hours worked; and

23 (o) May be a friend, spouse, parent, family member, other relative, employee of a

1 provider agency, or other person hired by the consumer.

2 (12) A parent, parents combined, or a spouse shall not provide more than forty (40)
3 hours of services in a calendar week (Sunday through Saturday) regardless of the num-
4 ber of family members who receive waiver services.

5 (13)(a) The department shall establish a budget for a consumer based on the individ-
6 ual's historical costs minus five (5) percent to cover costs associated with administering
7 the consumer directed option. If no historical cost exists for the consumer, the con-
8 sumer's budget shall equal the average per capita historical costs of ABI recipients mi-
9 nus five (5) percent.

10 (b) Cost of services authorized by the department for the individual's prior year plan
11 of care but not utilized may be added to the budget if necessary to meet the individual's
12 needs.

13 (c) The department may adjust a consumer's budget based on the consumer's needs
14 and in accordance with paragraphs (d) and (e) of this subsection.

15 (d) A consumer's budget shall not be adjusted to a level higher than established in
16 paragraph (a) of this subsection unless:

- 17 1. The consumer's support broker requests an adjustment to a level higher than es-
18 ablished in paragraph (a) of this subsection; and
19 2. The department approves the adjustment.

20 (e) The department shall consider the following factors in determining whether to al-
21 low for a budget adjustment:

- 22 1. If the proposed services are necessary to prevent imminent institutionalization;
23 2. The cost effectiveness of the proposed services; and

1 3. Protection of the consumer's health, safety, and welfare.

2 (14) Unless approved by the department pursuant to subsection (13)(b) through (e)
3 of this Section, if a CDO service is expanded to a point in which expansion necessitates
4 a budget allowance increase, the entire service shall only be covered via a traditional
5 (non-CDO) waiver service provider.

6 (15) A support broker shall:

7 (a) Provide needed assistance to a consumer with any aspect of CDO or blended
8 services;

9 (b) Be available to a consumer twenty-four (24) hours per day, seven (7) days per
10 week;

11 (c) Comply with applicable federal and state laws and requirements;

12 (d) Continually monitor a consumer's health, safety, and welfare; and

13 (e) Complete or revise a plan of care using person-centered planning principles.

14 (17) For a CDO participant, a support broker may conduct an assessment or reas-
15 essment.

16 Section 9 Appeal Rights. (1) An appeal of a department decision regarding a Medi-
17 caid beneficiary based upon an application of this administrative regulation shall be in
18 accordance with 907 KAR 1:563.

19 (2) An appeal of a department decision regarding Medicaid eligibility of an individual
20 based upon an application of this administrative regulation shall be in accordance with
21 907 KAR 1:560.

22 (3) An appeal of a department decision regarding a provider based upon an applica-
23 tion of this administrative regulation shall be in accordance with 907 KAR 1:671.

1 Section 10[9]. Incorporation by Reference. (1) The following material is incorporated
2 by reference:

3 (a) "MAP-109 Prior Authorization for Waiver Services", March 2007 edition;
4 (b) "MAP 24C, SCL or ABI Admission Discharge Department for Community Based
5 Services (DCBS) Notification", April 2007 edition;
6 (c) "MAP-26, Acquired Brain Injury (ABI) Waiver Services Program Application", May
7 2003 edition;
8 (d) "MAP-95, Request for Equipment Form", June 2007 edition;
9 (e) "MAP-10 Waiver Services", January 2007 edition;
10 (f) "Incident Report", April 2007 edition;
11 (g) "MAP-2000, Initiation/Termination of Consumer Directed Option (CDO)", March
12 2007 edition
13 (h) "MAP-350, Long Term Care Facilities and Home and Community Based Program
14 Certification Form", January 2000 edition;
15 (i) "Rancho Los Amigos Level of Cognitive Function Scale", November 1974 edition;
16 (j) "MAP-351, Medicaid Waiver Assessment", March 2007 edition;
17 (k) "Mayo-Portland Adaptability Inventory-4", March 2003 edition; and
18 (l) "Person Centered Planning: Guiding Principles", March 2005 edition. ["MAP-011,
19 Acquired Brain Injury Assessment of Needs and Plan of Care, December 2003 edition";
20 (b) "MAP-24B, Acquired Brain Injury (ABI) Recipient's Admission Discharge Depart-
21 ment for Community Based Services (DCBS) Notification, May 2003 edition";
22 (c) "MAP-26, Acquired Brain Injury (ABI) Waiver Services Program Application, May
23 2003 edition";

- 1 ~~(d) "MAP-95, Request for Equipment Form, September 2002 edition";~~
- 2 ~~(e) "MAP-552K, Department for Community Based Services Notice of Availability of~~
3 ~~Income for Long Term Care/Waiver Agency/Hospice, January 2001 edition";~~
- 4 ~~(f) "MAP-4096, Acquired Brain Injury Waiver Services Program Applicant/Recipient~~
5 ~~Memorandum of Understanding, May 2003 edition";~~
- 6 ~~(g) "MAP-4098, Acquired Brain Injury Plan of Care Modification, May 2003 edition";~~
- 7 ~~(h) "MAP-4099, Acquired Brain Injury (ABI) Waiver Services Program Physician Cer-~~
8 ~~tification, May 2003 edition";~~
- 9 ~~(i) "Incident Report, December 2003 edition";~~
- 10 ~~(j) "MAP-4102, Freedom of Choice of Home and Community Based Waiver Service~~
11 ~~Providers, May 2003 edition";~~
- 12 ~~(k) "MAP-350, Long Term Care Facilities and Home and Community Based Program~~
13 ~~Certification Form, January 2000 edition"; and~~
- 14 ~~(l) "Rancho Los Amigos Level of Cognitive Function Scale, November 1974.]~~
- 15 (2) This material may be inspected, copied, or obtained, subject to applicable copy-
16 right law, at the Department for Medicaid Services, 275 East Main Street, Frankfort,
17 Kentucky 40621, Monday through Friday, 8 a.m. to 4:30 p.m.

907 KAR 3:090

REVIEWED:

Date

Shawn M. Crouch, Commissioner
Department for Medicaid Services

APPROVED:

Date

Mark D. Birdwhistell, Secretary
Cabinet for Health and Family Services

REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

Administrative Regulation #: 907 KAR 3:090

Cabinet for Health and Family Services

Department for Medicaid Services

Agency Contact Person: Stuart Owen (502) 564-6204 or Leslie Bland (502) 564-5560

- (1) Provide a brief summary of:
 - (a) What this administrative regulation does: This administrative regulation establishes the coverage provisions relating to home and community based waiver services provided to an individual with an acquired brain injury as an alternative to nursing facility services.
 - (b) The necessity of this administrative regulation: This administrative regulation is necessary to establish the coverage provisions relating to home and community based waiver services provided to an individual with an acquired brain injury as an alternative to nursing facility services.
 - (c) How this administrative regulation conforms to the content of the authorizing statutes: This administrative regulation conforms to the content of the authorizing statutes by establishing the coverage provisions relating to home and community based waiver services provided to an individual with an acquired brain injury as an alternative to nursing facility services.
 - (d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: This administrative regulation assists in the effective administration of the statutes by establishing the coverage provisions relating to home and community based waiver services provided to an individual with an acquired brain injury as an alternative to nursing facility services.

- (2) If this is an amendment to an existing administrative regulation, provide a brief summary of:
 - (a) How the amendment will change this existing administrative regulation: This amendment establishes a consumer-directed option services program that allows Medicaid's ABI waiver participants to assist with the design of their programs, choose their providers of services, and direct the delivery of services to meet their needs. This amendment also requires ABI providers' employees and volunteers to submit to a child abuse/neglect central registry check and a check of the nurse aide abuse registry, and not be listed on either registry for the purpose of employment or service as a volunteer. This amendment further establishes what types of documentation must be provided to the department in case of death of an ABI recipient. Additionally, this amendment requires case management providers to complete and submit to the department a Mayo-Portland Adaptability Inventory-4 for each ABI recipient within thirty (30) days of admission into the ABI program, annually thereafter, and upon discharge. The amendment after comments separates

- the case management function from other ABI services in order to promote freedom of choice by recipients and enhance quality control by having independent case managers monitoring service delivery; explicitly prohibits the use of prone or supine restraints to render consistent with supports for community living (SCL) policy; reinserts social skills training related to problematic behaviors identified in the recipient's plan of care to help equip ABI recipients for life without waiver services; clarifies class II and III incident reporting policy; clarifies provider documentation requirements; clarifies policy regarding length of time between conviction and eligibility for employment or volunteer work; deletes the requirement that a recipient's consumer directed option (CDO) participation be terminated if they fail to pay patient liability; extends the central registry check timeframe for an ABI provider from fourteen (14) days to thirty (30) days; and clarifies that an ABI provider may not permit an employee or volunteer with a DUI conviction within the past year to transport an ABI recipient.
- (b) The necessity of the amendment to this administrative regulation: This amendment is necessary to implement the consumer-directed option services program established by KRS 205.5606. The amendment after comments separates the case management function from other ABI services in order to promote freedom of choice by recipients and enhance quality control by having independent case managers monitoring service delivery; explicitly prohibits the use of prone or supine restraints to render consistent with supports for community living (SCL) policy; reinserts social skills training related to problematic behaviors identified in the recipient's plan of care to help equip ABI recipients for life without waiver services; and is necessary to clarify class II and III incident reporting policy; provider documentation requirements; policy regarding the length of time between conviction and eligibility for employment or volunteer work; benefits recipients by deleting the requirement that a recipient's consumer directed option (CDO) participation be terminated if they fail to pay patient liability; and benefits ABI providers by extending the central registry check timeframe from fourteen (14) days to thirty (30) days.
- (c) How the amendment conforms to the content of the authorizing statutes: The initial amendment conforms to the content of KRS 205.2605 and 205.5606 by implementing the consumer-directed option services program and the amendment after comments amends or clarifies policy in accordance with the waiver approved by the Centers for Medicare and Medicaid Services (CMS).
- (d) How the amendment will assist in the effective administration of the statutes: The initial amendment assist in the effective administration of KRS 205.2605 and 205.5606 by implementing the consumer-directed option services program and the amendment after comments amends or clarifies policy in accordance with the waiver approved by the Centers for Medicare and Medicaid Services (CMS).
- (3) List the type and number of individuals, businesses, organizations, or state and local government affected by this administrative regulation: This administrative regulation will affect Medicaid's ABI waiver recipients who opt to participate in the

consumer-directed services program. Currently, there are approximately 120 recipients enrolled in the ABI waiver program.

- (4) Provide an analysis of how the entities identified in question (3) will be impacted by either the implementation of this administrative regulation, if new, or by the change, if it is an amendment, including:
- (a) List the actions that each of the regulated entities identified in question (3) will have to take to comply with this administrative regulation or amendment: Medicaid ABI waiver recipients may opt to participate in the consumer directed option services program. An individual who chooses to participate will be assisted by a support broker. Individuals who wish to provide consumer directed services must meet basic requirements including: complete and submit a consumer directed option provider agreement to the consumer's support broker, be at least eighteen (18) years of age, pass required background checks, be able to communicate effectively, and report any suspected abuse, neglect, or exploitation. The amendment after comments mandates that a provider document employee performance evaluations and document regularly-scheduled supervisory visits to ensure quality of service and appropriateness of services provided.
 - (b) In complying with this administrative regulation or amendment, how much will it cost each of the entities identified in question (3). This amendment is required by KRS 205.5606 and does not impose a cost on regulated entities. The amendment after comments does not impose a cost on regulated entities other than any administrative cost associated with a provider's documentation of employee performance evaluations and regularly-scheduled supervisory visits to ensure quality of service and appropriateness of services provided.
 - (c) As a result of compliance, what benefits will accrue to the entities identified in question (3). An ABI waiver recipient who enrolls in the consumer directed option program will be able to choose their providers of non-medical services, in their approved plan of care, as well as how and when they will receive the services. This initiative allocates a monthly budgeted allowance to consumers to spend on nonresidential and non-medical home and community based services and supports. CDO providers may include family members, friends, neighbors, or others recruited by the consumer including provider agencies. CDO providers will be reimbursed for providing services to CDO consumers. The amendment after comments promotes freedom of choice by recipients and enhances quality control by separating the case management function from other ABI services; benefits ABI service recipients by explicitly prohibiting the use of prone or supine restraints to render consistent with supports for community living (SCL) policy; benefits ABI service recipients by reinserting social skills training related to problematic behaviors identified in the recipient's plan of care to help equip ABI recipients for life without waiver services; benefits ABI recipients by deleting the requirement that a recipient's consumer directed option (CDO) participation be terminated if they fail to pay patient liability; and benefits ABI providers by extending the central registry check timeframe from fourteen (14) days to thirty (30) days.

- (5) Provide an estimate of how much it will cost to implement this administrative regulation:
- (a) Initially: Pursuant to KRS 205.5606(1), the budget allowance made available each month to consumers for purchasing covered services and supports shall not exceed the amount that would have been allocated in the traditional Medicaid program for nonresidential and nonmedical services for the consumer. Additionally, the Department for Medicaid Services (DMS) is establishing an expenditure cap per consumer in an attempt to preserve some funding to cover administrative costs; however, DMS is absorbing some administrative cost (support brokers and fiscal intermediaries). Utilization, indeterminable at this time, could increase significantly given the enhanced access individuals will have to providers. Therefore, DMS is unable to determine a precise fiscal impact at this time regarding the initial amendment or the amendment after comments.
 - (b) On a continuing basis: Pursuant to KRS 205.5606(1), the budget allowance made available each month to consumers for purchasing covered services and supports shall not exceed the amount that would have been allocated in the traditional Medicaid program for nonresidential and nonmedical services for the consumer. Additionally, DMS is establishing an expenditure cap per consumer in an attempt to preserve some funding to cover administrative costs; however, DMS is absorbing some administrative cost (support brokers and fiscal intermediaries). Utilization, indeterminable at this time, could increase significantly given the enhanced access individuals will have to providers. Therefore, DMS is unable to determine a precise fiscal impact at this time regarding the initial amendment or the amendment after comments.
- (6) What is the source of the funding to be used for the implementation and enforcement of this administrative regulation: The sources of revenue to be used for implementation and enforcement of this administrative regulation are federal funds authorized under Title XIX of the Social Security Act and matching funds of general fund appropriations.
- (7) Provide an assessment of whether an increase in fees or funding will be necessary to implement this administrative regulation, if new, or by the change if it is an amendment: Neither an increase in fees or funding will be necessary to implement this administrative regulation.
- (8) State whether or not this administrative regulation establishes any fees or directly or indirectly increases any fees: ABI providers, as a result of an amendment to this administrative regulation, will be required to obtain a child abuse/neglect central registry check for potential staff and volunteers. Central registry checks cost \$10.00 per individual.
- (9) Tiering: Is tiering applied? (Explain why tiering was or was not used)

Consumer-directed option (CDO) providers are subject to less strict provider qualifications than non-CDO providers in order to enhance recipient access to services and to facilitate greater recipient independence among recipients in accordance with KRS 205.5606.

FISCAL NOTE ON STATE OR LOCAL GOVERNMENT

Reg NO: 907 KAR 3:090

Contact Person: Stuart Owen (502) 564-6204 or Leslie Bland (502) 564-5560

1. Does this administrative regulation relate to any program, service, or requirements of a state or local government (including cities, counties, fire departments or school districts)?

Yes X No _____

If yes, complete 2-4.

2. What units, parts or divisions of state or local government (including cities, counties, fire departments, or school districts) will be impacted by this administrative regulation? This amendment will affect each Medicaid ABI waiver recipient who opts to participate in the consumer directed option program.
3. Identify each state or federal regulation that requires or authorizes the action taken by the administrative regulation. This amendment is required by KRS 205.5605 and 205.5606.
4. Estimate the effect of this administrative regulation on the expenditures and revenues of a state or local government agency (including cities, counties, fire departments, or school districts) for the first full year the administrative regulation is to be in effect.
 - (a) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for the first year? This amendment will not generate revenue for state or local government during the first year of program administration.
 - (b) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for subsequent years? This amendment will not generate revenue for state or local government during subsequent years of program administration.
 - (c) How much will it cost to administer this program for the first year? This amendment will not result in additional costs during the first year of program administration.
 - (d) How much will it cost to administer this program for subsequent years? This amendment will not result in additional costs during subsequent years of program administration.

Note: If specific dollar estimates cannot be determined, provide a brief narrative to explain the fiscal impact of the administrative regulation.

Revenues (+/-): _____

Expenditures (+/-): _____

Other Explanation: No additional expenditures are necessary to implement this amendment.

COMMONWEALTH OF KENTUCKY
CABINET FOR HEALTH AND FAMILY SERVICES
DEPARTMENT FOR MEDICAID SERVICES

907 KAR 3:090, Acquired brain injury services

Summary of Material Incorporated by Reference

1. "The MAP-109, Plan of Care/Prior Authorization for Waiver Services", March 2007 edition. This form serves as the plan of care for the ABI recipient, the prior authorization request for ABI waiver services, and Support Spending Plan for consumer-directed services. This form contains five (5) pages.
2. "The MAP-24C, SCL or ABI Admission Discharge Department for Community Based Services (DCBS) Notification", April 2007 edition. This form documents an HCB recipient's admissions and discharges to and from the ABI waiver program. This form contains five (5) pages.
3. "The MAP-26, Acquired Brain Injury (ABI) Waiver Services Program Application", May 2003 edition. This form is used to document information regarding the individual seeking services for placement on the ABI waiver waiting list. This form contains three (3) pages.
4. "The MAP-95, Request for Equipment Form", June 2007 edition. Revision of the MAP-95 includes removal of a request for the following information: equipment rental information, manufacturer's name, manufacturer's suggested list price, and agency's acquisition cost. Further revision of the MAP-95 includes the addition of a request for the case manager or support broker's name. This form serves as a prior authorization tool for minor home adaptations. This form contains one (1) page.
5. "MAP-10, Waiver Services", January 2007 edition. This form is used by a recipient's physician to recommend participation in one of Medicaid's waiver programs. This form contains one (1) page.
6. "Incident Report", April 2007 edition. This document is used by ABI providers to document and report Class I incidents, which are minor in nature, to more serious Class II and Class III incidents. This form contains two (2) pages.
7. "MAP-2000, Initiation/Termination of Consumer Directed Option (CDO)", March 2007 edition. This form is used by the consumer to express his or her decision to choose participation in the CDO program for some or all of the consumer's waiver services; used by a consumer to designate a representative upon initiation of participation in the CDO program; used by a consumer to voluntarily terminate participation in the CDO; and used by a support broker to involuntarily terminate participation

in the CDO. This form contains two (2) pages.

8. "MAP-350, Long Term Care Facilities and Home and Community Based Program Certification Form", January 2000 edition. This form is used to advise ABI recipients of the estate recovery program, Medicaid waiver programs, ability to request services from any enrolled Medicaid provider as a waiver participant, and ability to request that a resource assessment be provided by the Department for Community Based Services. This form contains two (2) pages.
9. "Rancho Los Amigos Level of Cognitive Function Scale", November 1974 edition. This scale is used to rate and record the progress a person makes in rehabilitation following a brain injury. This form contains five (5) pages.
10. "MAP-351, Medicaid Waiver Assessment", March 2007 edition. This form is used to document a waiver participant's eligibility for waiver services; record assessment provider information; document information used for an ABI waiver participant's self assessment; document an ABI waiver participant's activities of daily living, neuro/emotional/behavioral information, clinical information, environment and household information, option to receive CDO or blended services. This form contains fifteen (15) pages.
12. "Mayo-Portland Adaptability Inventory-4", March 2003 edition. This document is a standardized clinical outcome measure developed to quantify rehabilitation outcomes in the field of traumatic brain injury. This form contains four (4) pages.
13. "Person Centered Planning: Guiding Principles", March 2005. This document outlines the principles utilized when conducting person centered planning. This form contains one (1) page.

A total of forty-five (45) pages are incorporated into this administrative regulation by reference.