

B.3.5.b Ongoing Monitoring- IEA

Responsible Office: Community Waiver Program

Reference: CWP approved waiver applications; Code of Federal Regulation 42 CFR § 441.301(c)(4); Alabama Statewide Transition Plan; Alabama Administrative Code 580-5-30

Effective: Historical Practice

Revised: July 1, 2024

Statement: Federal HCBS Settings Rule compliance requires Support Coordinators in CWP to ensure CWP participants have an experience that is consistent with the opportunities, rights protections, and freedoms to be ensured under the rule.

Purpose/Intent: To define procedure for ongoing monitoring of CWP participant experience to ensure compliance with federal HCBS Settings Rule.

HCBS Waivers: CWP

Definitions: Community Waiver Program (CWP); Individual Experience Assessment (IEA); Home and Community Based Service (HCBS); Alabama Department of Mental Health Division of Developmental Disabilities (ADMH/DDD); Support Coordinator (SC); Planning & Quality Enhancement (P&Q); Person-Centered Plan (PCP); Intellectual Disability (ID); Living at Home (LAH)

Procedures:

The following procedure applies for ongoing monitoring of CWP participants' experiences to ensure compliance with federal HCBS Settings Rule:

1. An IEA completed with each CWP participant is required annually. Therefore, the first time SCs must complete with CWP participants is when they reach one year of enrollment (when the PCP is updated at the one-year point). IEAs are then re-administered annually thereafter.
2. The ***only*** exception to #1 is if the CWP participant starts receiving any of the following services in a setting that the provider ***did not*** previously use for ID/LAH waivers:
 - a. Community-Based Residential Services
 - b. Adult Family Home Services
 - c. Breaks & Opportunities (if being provided in a setting the provider owns/operates as opposed to the person's own home)
 - d. Supported Employment-Small Group

Note: If the provider is delivering these services to the CWP participant in a setting they previously used for ID/LAH waivers, this exception does not apply.

If this exception does apply (because the setting being used was not previously use for ID/LAH waivers), the SC must administer the first IEA within 5 days (before or after) the 60th day the person is receiving services in the setting. After that, the IEA is administered annually as described in #1 above.

3. **VERY IMPORTANT:** The goal of completing the IEA with the CWP participant is to ensure the experience the participant is having is consistent with the HCBS Settings Rule requirements. (OG: New Settings HCBS Compliance). Any issues identified by the Support Coordinator must be immediately shared with the Regional Office Monitor via note in the DDD Information Management System (ADIDIS) for HCBS Settings Compliance Review.

4. The RO monitor completes validation within 60 days of the provider completing the HCBS Compliance Checklist. The provider then has 30 days to make corrections that meet expectations for 100% compliance.
5. At 90 days, if provider does not meet 100% compliance with the HCBS Setting Rule, the TOA/replacement setting certificate is withdrawn, and Emergency facilitation of CHOICE meetings begin.
6. At 90 days, if provider meets 100% compliance with the HCBS Setting Rule , the TOA/replacement certificate remains in good standing.
7. The IEA form that must be used (attached to this OG) can be found in ADIDIS. Under the **Assessment Tab**, the SC must select **Add Assessment** and select "**Individual Experience Assessment Survey (IEA)**" from the drop-down box.
8. Completed IEA forms must be stored in ADIDIS by the SC in the Assessment Tab by selecting **Save and Close Assessment**.

[ATTACHMENT: IEA Form](#)