

#### B.5.5. HCBS Compliance Process for the CWP

**Responsible Office:** Office of Certification Community Services Office

**Reference:** 580-5-30-.01 Purpose; 580-5-30-.08 Community Service Provision; 580-5-30-.15 Freedom of Choice

**Effective:** Historical Practice

**Revised:** July 1, 2024

**Purpose/Intent:** To establish a process for approving proposed new settings while also ensuring compliance with HCBS settings regulations.

**HCBS Waivers:** CWP

**Definitions:** Office of Certification Administration (OCA), Executive Director (ED), Temporary Operating Agency (TOA), Community Services Director (CSD), Provider Network Manager (PNM), Office of Systems Management (OSM)

**Procedures:**

1. The Provider Network Manager (PNM) is responsible for processing all new applications for new providers into the CWP provider network.
2. The PNM will complete the following steps before sending the application to the ADMH/DDO Office of Certification Administration (OCA)
  - a. Send CWP New Provider Application/ PPQ Assessment to new provider to complete.
  - b. Complete a review of the application/assessment.
  - c. Score the PPQ Assessment
3. Application and supporting documents are sent to the OCA for quality review and background check request. (See CWP Provider Application)
4. The OCA will review the application. If application package does not meet criteria, package is either returned to applicant for additional information or denied and returned to applicant. Reason for not approving applications:
  - a. Unfavorable background check for Executive Director (ED) (can reapply with new ED)
  - b. Falsification of information (cannot apply again)
  - c. Lack of educational background for Executive Director (can reapply with new ED)
  - d. Lack of required experience (5 yrs.) for Executive Director (can reapply with new ED)
  - e. Application reviewed 3 times.
  - f. Pattern of substantiated incidents of abuse, neglect, mistreatment, and exploitation
  - g. Setting does not meet HCBS Settings Rule
  - h. Presence on the Exclusion List
  - i. Agency has demonstrated an inability to take on added responsibilities of additional setting or service (can reapply after next favorable full review)

- i. Provisional Certification
    - ii. Extended TOA (s)
  - j. Previously Decertified
  - k. Inappropriate name for organization (can reapply with favorable name)
5. If application package meets criteria, the OCA will submit the “proposed” setting to the Community Services office for review and recommendations.
  6. The Community Services office returns the application with the Application and Setting Review Form, recommendation, and any supporting documentation for all new settings to the OCA.
    - a. The Community Services office designee completes Part A and B of the form. If question to Part A of the form is “Yes”, the application is not approved and will not be processed further. The Regional Community Service Office will send notification to the OCA. OCA will notify the provider of the outcome of the application.
    - b. If question to Part A is “No” the Community Services Office designee will complete Part B and submit to RCS/CSD for review.
  7. RCS/CSD and or designee will review and return the application with form and any supporting documentation to the OCA for **final review**.
    - a. Approved for Certification: If for a new setting, the application is approved for a 6- month TOA following the Life Safety inspection and is returned to the OCA.
    - b. Approved for Certification: If for a new service, the application is approved for a 6- month TOA and is returned to the OCA. Life Safety is not required.
    - c. NOT APPROVED for Certification: If for a new setting or new services, the application is not approved and a letter detailing the **denial** is returned to the OCA. **The OCA is responsible for completing the letter.**
  8. Life Safety completes a review of **only** CWP Community Base Residential Settings.
    - a. Setting Passes: Life Safety review, documentation/application returned to OCA.
    - b. Setting Does Not Pass: Provider given opportunity to correct deficiencies, if possible, or can opt to acquire another property. If provider choose to acquire new property, process start over. Documentation/application returned to OCA.
  9. OCA notifies Alabama Medicaid Agency (AMA), Office of DDD Certification CWP P&Q Lead and or designee, and Associate Commissioner of the TOA.
  10. The OCA assigns a setting number and notifies Office of Systems Management (OSM), designated Community Services office CSD, DDD Central Office Contract Specialist, Provider Network Manager and CWP Director The PNM will add the provider to the provider network database and notify the

CWP Support Coordinator Director identifying the provider as an option for Freedom Choice of Provider.

11. DDD Central Office initiates contract process.
12. PNM will notify DD Support Services to establish the provider in ADIDIS system.
13. Within 6-months of actively providing services, the CWP Planning, and Quality Assurance Specialist will initiate the Credentialing Process for the setting.
14. If no services are provided in the setting at the end of the 6-month certification date, the TOA must be renewed.