

210-RICR-50-10-2

TITLE 210 – EXECUTIVE OFFICE OF HEALTH AND HUMAN SERVICES

CHAPTER 50 – MEDICAID LONG-TERM SERVICES AND SUPPORTS

SUBCHAPTER 10 – HOME & COMMUNITY BASED LTSS

PART 2 – Self-Directed Care

2.1 Purpose

~~These~~ This Rules ~~applies~~ to ~~two (2) the Personal Choice -consumer~~ self-directed programs and the home and community-based services provided by Personal Care Aides (PCAs) under ~~these~~ this programs. ~~These~~ is Rules ~~sets~~ out the eligibility criteria and program operations for ~~two (2) self-directed care programs, the Personal Choice (PC) Program self-direction and the Independent Provider (IP) Program, a service delivery model both of which allows~~ consumers individuals to have responsibility for managing their long-term services and supports in a person-centered manner. ~~Consumers-Individuals~~ choose who provides their services and when and how the services are provided. Self-directed services are intended to support community tenure and ~~consumer~~ individual control, choice, and independence.

2.2 Applicability

~~A. Program Descriptions~~

~~A. 1.~~ 1. The Personal Choice (PC) Program provides ~~consumers~~ self-directed home and -community-based services to Medicaid long-term services and supports (LTSS) eligible ~~consumers~~ individuals. Personal Choice is a long-term care program for individuals with disabilities who are over the age of eighteen (18) or all individuals age sixty-five (65) or over who meet either a high or highest level of care. Services are geared toward reducing unnecessary institutionalization by providing specialized home and community-based services to qualified Medicaid ~~consumers-participants~~ at an aggregate cost which is less than or equal to the cost of institutional or nursing facility care.

~~2.~~ The Independent Provider (IP) Program is a self-directed pathway available to all adult LTSS consumers choosing services in an at home setting who are seeking to self-direct only nonmedical personal care and homemaker services. The Independent Provider model is a long-term care program for individuals with disabilities who are over the age of eighteen (18) or all individuals age sixty-five (65) or over who meet either a high or highest level of care. The LTSS consumer has the flexibility to hire a

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~~trained PCA of choice and self-direct the schedule and way the IP
authorized services are provided by the PCA.~~

- C. Pursuant to R.I. Gen. Laws § 40-8.15-2(b), nothing in this Part shall interfere with the regulatory authority of the Rhode Island Department of Health (RIDOH) over individual providers' licensing.

2.3 Authority

Title XIX of the Social Security Act, 42 U.S.C. §§ 1396-1396w-74, provides the legal authority for the Rhode Island Medicaid Program. The Medicaid Program also operates under a waiver granted by the Secretary of the U.S. Department of Health and Human Services pursuant to § 1115 of the Social Security Act, 42 U.S.C. § 1315. Additionally, R.I. Gen. Laws Chapters 40-6, 40-8, 40-18, 40-8.14, and 40-8.15 serve as the enabling statutes for the ~~Independent Provider and Personal Choice Program~~s.

2.4 Definitions

- A. The following terms, which are listed alphabetically, are referenced in this Regulation.
14. "Activities of daily living" or "ADLs" means everyday routines generally involving functional mobility and personal care, including but not limited to, bathing, dressing, eating, toileting, mobility, and transfer.
22. "Applicant" means new applicants to be determined for Medicaid eligibility.
33. "Assessment" means a meeting ~~between with the consumer participant,~~ and their representative (if applicable), ~~and the Service Advisor~~ to evaluate ADLs and IADLs to determine ~~participant need~~ the amount and scope of services needed. Assessments also help to identify services, equipment, home modifications, and other ~~services supports~~ in the community that may help the participant to increase their independence within the community. ~~Initial assessments occur upon entry to either the Independent Provider or Personal Choice program and reassessments occur annually thereafter. A participant or representative may request a reassessment sooner if their situation has changed and there is either an increased or decreased need for assistance. The Service Advisor may also perform a reassessment sooner if there are life changes resulting in a possible increase or decrease in need for assistance.~~
44. "Budget" means the amount of Medicaid funds set aside each month for the participant's personal care and homemaker services. The budget is based on the amount of assistance the participant requires to meet their personal care needs as determined by the functional assessment. The budget is based on what ~~the Medicaid agency~~ EOHHS would normally

spend to purchase services from a Home Health Agency for the services necessary to allow a participant to live at home. ~~The Medicaid agency sets the amount of the monthly budget based on participant need for assistance.~~

55. "Case management services" means ~~services that assist participants in gaining access to needed supports through~~ the coordination of a ~~person-centered service plan of care and services provided at home to individuals with disabilities who are over the age of eighteen (18) or elders age sixty-five (65) or over who meet either a high or highest level of care.~~ Such programs shall be provided in the person's home or in the home of a responsible relative or other responsible adult, but not provided in a skilled nursing facility and/or an intermediate care facility.

6. "Case manager" means ~~an individual employed by a conflict-free case management agency that assesses service needs, assists with planning what services are needed and how to receive them, performs check-ins and evaluations, and is an additional resource to the participant, representative, and/or family to promote safety and quality of care. The case manager conducts quarterly home visits, one of which is unannounced, and makes phone contact with the participant in the months where there is not a home visit. The case manager guides and supports, rather than directs and manages, the participant through the service planning and delivery process.~~

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8. "Conflict-free case management agency" means ~~an agency certified by EOHHS that provides conflict-free case management services for participants receiving home and community-based services, including participants in the Personal Choice program.~~

9. "Critical incident" means any actual or alleged event or situation that creates a significant risk of substantial or serious harm to the physical or mental health, ~~safety~~^{safety}, or well-being of a participant. This ~~includes,~~^{but includes but} is not limited ~~to~~^{to} physical abuse; verbal abuse; psychological or emotional abuse; sexual abuse; financial abuse; use of physical, chemical or mechanical restraint; self-neglect; neglect by another member of the home; exploitation; and unexplained death.

119. "Environmental modifications" or "home modifications" are defined as those physical adaptations to the home of the participant or the participant's family as required by the participant's ~~person-centered~~ service plan, that are necessary to ensure the health, welfare and safety of the participant or that enable the participant to attain or retain capability

for independence or self-care in the home and to avoid institutionalization, and are not covered or available under any other funding source. A completed home assessment by a specially trained and certified rehabilitation professional is also required. Such adaptations may include the installation of modular ramps, grab-bars, vertical platform lifts and interior stair lifts. Excluded are those adaptations that are of general utility, are not of direct medical or remedial benefit to the participant. Excluded are any re-modeling, construction, or structural changes to the home, (i.e., changes in load bearing walls or structures) that would require a structural engineer, architect and/or certification by a building inspector.

- a. Adaptations that add to the total square footage of the home are excluded from this benefit. All adaptations shall be provided in accordance with applicable state or local building codes, and prior approval on an individual basis by EOHHS, Office of Durable Medical Equipment, is required.
- b. Items should be of a nature that they are transferable if a participant moves from ~~his/her~~their place of residence.

~~1240.~~ "Fiscal intermediary services" or "FI services" ~~(FI) for the Personal Choice Program~~ means financial management services delivered to Personal Choice participants by an EOHHS certified Fiscal Intermediary. FI services are designed to assist participants in allocating funds as outlined in the Individual Service and Spending Plan and to facilitate employment of ~~personal assistance staff~~PCAs by the participant. Personal ~~Choice~~ financial matters are maintained by the fiscal agency and a portion of the participant's monthly budget is set aside for the services it provides.

~~1312.~~ "Formal training" means a twelve (12) hour ADL/IADL training course.

~~1414.~~ "Home modifications" means equipment and/or adaptations to a consumer's residence to enable the consumer to remain in their home or place of residence and ensure safety, security, and accessibility.

~~1516.~~ "In-home training" means training directed by the ~~consumer~~participant, as opposed to ~~formal mandatory orientation and~~ training. This option empowers the ~~consumer~~participant, as the employer, to train the PCA themselves and decide how services should be delivered by the PCA ~~in order to~~ suit the ~~consumer's~~participant's needs.

~~1618.~~ "Individual service and spending plan" or "ISSP" means a written plan that shows the services that are purchased with the budget amount provided through the Personal Choice Program. The plan shows the services purchased, the rate of purchased services, ~~at~~ and the total dollars spent on care. The ISSP provides information on the ~~consumer's~~participant's goals, ~~goods~~goods, and services, as well as taxes and fees associated

with their budget. The ISSP also includes a plan for handling emergencies. The ISSP can be updated annually or as the budget or other personal circumstances change.

1749. “Instrumental activities of daily living” or “IADLs” means activities related to living independently in the community, including but not limited to: meal planning and preparation; managing finances; shopping for food, clothing, and other essential items; performing essential household chores; scheduling appointments; communicating by phone or other media, and traveling around and participating in the community.

1820. “Mandatory orientation and training” means a four (4) hour series of orientation and training courses required by EOHHs for all PCAs participating in the IP program listed on the registry. ~~Mandatory orientation includes Courses include~~ program overview and structure; ~~policy and procedure explanation; PCA eligibility, scope of work, and responsibilities; review of~~ ethics, accountability, consumer privacy and dignity, HIPAA, and EW; ~~coverage of recognizing and reporting~~ critical incidents; ~~IP PCA scope of work, responsibilities and excluded duties;~~ infection control; and safety; health management; emotional support; mobility; and understanding and supporting ADLs and IADLs.

1924. “Medicaid fraud” means making a false statement, misrepresentation of material fact, submitting a claim or causing a submission to obtain some benefit or payment involving Medicaid money for which no entitlement would otherwise exist. This can be done for the benefit of oneself or another party and includes obtaining something of value through misrepresentation, concealment, omission, or willful blindness of a material fact.

2022. ~~“Medical necessity” or “Medically necessary services” means medical, surgical, or other services required for the prevention, diagnosis, cure, or treatment of a health-related condition including services necessary to prevent a detrimental change in either medical or mental health status.~~

2124. “Nonmedical” means not involving, relating to, used in, or concerned with medical care or the field of medicine.

2225. “Participant” means the individual, also referred to as the beneficiary, who utilizes services in the Personal Choice program.

23. “Participant directed goods and services” means services, equipment or supplies not otherwise provided through Medicare or Medicaid, that address an identified need and are in the approved ISSP (including improving and maintaining the individual’s opportunities for full membership in the community), ~~and meet the following requirements: the item or service would decrease the need for other Medicaid services;~~

~~ADDITIONAL DEFINITIONS OF TERMS: "Person-centered" means that the assessment and service planning processes are directed and led by the participant (with assistance as needed or desired from a representative or other persons of the participant's choosing) for the purposes of identifying the strengths, capacities, preferences, needs, and desired outcomes that become the core of an individualized plan of LTSS care.~~

24. "Person-centered" means that the assessment and service planning processes are directed and led by the participant (with assistance as needed or desired from a representative or other persons of the participant's choosing) for the purposes of identifying the strengths, capacities, preferences, needs, and desired outcomes that become the core of an individualized plan of LTSS care.
25. "Person-centered options counseling" means an interactive decision-support process that helps people assess and understand their LTSS needs, goals, and preference. Person-centered options counseling emphasizes person-centered thinking to support consumers in making informed decisions about their LTSS options. The person-centered options counseling process is a multi-step approach of asking for and providing information about LTSS programs, offering decision support, and assisting in accessing services.
26. "Person-centered options counselor" means an individual who is trained in person-centered options counseling.
27. "Person-centered service plan" means the written document, developed in a person-centered manner, that specifies the services and supports, both formal and informal, that are furnished to meet the needs of each participant and help them remain in the community. The person-centered service plan contains the types of services to be furnished; the amount, frequency, and duration of each service; and the type of provider to furnish each service.
- ~~28.~~ 26. "Personal care services" means the provision of direct supportive, nonmedical services provided in the home or community to individuals in performing tasks they are functionally unable to complete independently due to illness and/or disability, based on the ISSP, ~~or the ISP~~. Personal care services do not include services that require a professional license, certification or registration by State law such as wound care, injections, oxygen application, and other services which are medical in nature. Personal care services may include but are not limited to:
- Participant assistance with activities of daily living, such as grooming, personal hygiene, toileting, bathing, and dressing;
 - Assistance with monitoring health status and physical condition;
 - Assistance with preparation and eating of meals (not the cost of the meals itself);

- d. Assistance with housekeeping activities (bed making, dusting, vacuuming, laundry, grocery shopping, cleaning);
- e. Assistance with transferring; ambulation; use of special mobility devices; assisting the participant by directly providing or arranging transportation.

2927. "Personal emergency response system" or "PERS" means an electronic device that enables certain individuals at high risk of institutionalization to secure help in an emergency. The individual may also wear a portable "help" button to allow for mobility. The system is connected to the person's phone and programmed to signal a response center once a "help" button is activated. This service includes coverage for installation and a monthly service fee. Providers are responsible to ensure the upkeep and maintenance of the devices/systems.

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3129. "Representative" means a person designated by a participant to assist the participant in managing some or ~~all of all~~ the requirements of the ~~PC or IP~~ **Personal Choice** program. A representative cannot be paid to provide this assistance. The representative also cannot be paid to provide direct care or hands on care. In other words, the representative cannot be a paid PCA.

3230. "Self-directed" means a ~~consumer participant~~ **consumer participant**-controlled method of selecting and providing services and supports that allows the individual maximum control of their home and community-based services and supports, with the individual acting as the employer of record with necessary supports to perform that function, or the individual having a significant and meaningful role in the management of a provider of service when the agency-provider model is utilized. Individuals exercise as much control as desired to select, train, supervise, schedule, determine duties, and dismiss the ~~aid care provider~~ **PCA**.

3331. ~~"Service advisory agency" or "SA" means an agency certified by EOHHS that assesses service needs, assists with planning what services are needed and how to receive them, performs check-ins and evaluations, and is an additional resource to the consumer, representative, and/or family to promote safety and quality of care. The SA conducts quarterly home visits, one of which is unannounced, and makes phone contact with the consumer in the months where there is not a home visit. The SA guides and supports, rather than directs and manages, the participant through the service planning and delivery process. A portion of the participant's monthly budget is set aside to pay the agency for the services it provides.~~

~~3433~~. "Special medical equipment" or "Minor assistive devices" means the following:

- a. Devices, controls, or appliances, specified in the plan of care, which enable participants to increase their ability to perform activities of daily living;
- b. Devices, controls, or appliances that enable the participant to perceive, control, or communicate with the environment in which they live; including such other durable and non-durable medical equipment not available through the participant's medical insurance that is necessary to address participant functional limitations;
- c. Items reimbursed with waiver funds through the Personal Choice Program are in addition to any medical equipment and supplies furnished by Medicaid and exclude those items that are not of direct medical or remedial benefit to the participant. All items shall meet applicable standards of manufacture, ~~design~~design, and installation. Provision of Specialized Medical Equipment requires prior approval on an individual basis by Medicaid.

~~3534~~. "Supports for ~~consumer-participant~~ direction" or "Supports facilitation" means empowering participants to define and direct their own personal assistance needs and services by guiding and supporting, rather than directing and managing, the participant through the service planning and delivery process.

~~3635~~. ~~"Support Broker" is an individual who assists a participant in planning, securing, and directing self-directed supports and services. A support broker may be used in place of an authorized representative or as a temporary service to teach and guide the participant in self-direction.~~

- a. FICA (Federal Insurance Contributions Act): Finances care for the aging, disabled, and survivors, including funding for Medicare.
- b. FUTA (Federal Unemployment Tax Act): Finances employment programs at the federal level.
- c. SUTA (State Unemployment Tax Act): Finances employment programs at the state level.
- d. RITDI (Rhode Island Temporary Disability Insurance): Provides income to employees who cannot work ~~for a period of time~~ temporarily due to illness or non-job related injury.

~~3737~~⁶. "Worker's Compensation Insurance" means funds that provide for monetary awards paid to individuals who are injured, disabled, or killed on

the job. Worker's Compensation Insurance is a cost of employment paid by the participant from their monthly budget.

2.5 Eligibility

- A. All general eligibility Rules for Medicaid LTSS contained in the Rhode Island Code of Regulations, [Subchapter 00 Part 1 of this Chapter](#), Medicaid LTSS Overview and Eligibility Pathways, and [Subchapter 00 Part 4 of this Chapter](#), [Medicaid Long-Term Services and Supports Application and Renewal Process](#), apply to the ~~Self-Directed Programs~~ [Personal Choice](#) Programs. Additional eligibility requirements for ~~Self-Directed Programs~~ [Personal Choice](#) are as follows:
1. ~~Consumers-Individuals~~ who are either aged (age sixty-five (65) and older) or who have a disability and are at least eighteen (18) years old and are determined to have high or highest need for level of care;
 2. Individuals who have demonstrated the ability and competence to direct their own care or have a qualified designated representative to direct care, and want to either remain in their home or return to their home; and
 3. Individuals who have been determined to ~~behave a D~~ [developmentally D](#) ~~disability~~ and are receiving services via the Department of Behavioral Healthcare, Developmental Disabilities, and Hospitals (BHDDH) and are interested in the Personal Choice Program ~~or Independent Provider program~~ must be approved by BHDDH and EOHHS Medicaid.
- B. Income
- All income eligibility Rules contained in [Subchapter 00 Part 6 of this Chapter](#), Medicaid Long-Term Services and Supports: Financial Eligibility, ~~and as amended from time to time~~, apply. If Medically Needy eligible, the applied income cannot exceed the cost of services.
- C. Resources
- All resource Rules contained in [Subchapter 00 Part 6 of this Chapter](#), Medicaid Long-Term Services and Supports: Financial Eligibility, ~~and as amended from time to time~~, apply.
- D. Post Eligibility Treatment of Income
- ~~Information relating to All~~ Post Eligibility Treatment of Income (PETI) ~~rules contained in can be found in~~ [Subchapter 00 Part 8 of this Chapter](#), Post-Eligibility Treatment of Income, ~~apply~~.

2.6 Enrollment and Disenrollment

- A. Enrollment

Enrollment in ~~all Self Directed~~ the Personal Choice programs is by choice. Individuals who wish to participate and who meet all the eligibility requirements may contact a person-centered options counselor, Service Advisement Conflict-Free Case Management Agency, a Fiscal intermediary, or the EOHHS MyOptionsRI website <http://www.eohhsmyoptions.ri.gov/>.

B. Involuntary Disenrollment

1. The participant shall be involuntarily disenrolled from the Personal Choice Program if they lose either Medicaid financial eligibility or level of care eligibility.
2. Involuntary disenrollment may also occur when:
 - a. The participant or representative is unable to self-direct care and provide oversight of the PCA and spending plan.
 - b. A representative proves incapable of acting in the best interest of the participant, can no longer assist the participant, and no replacement is available.
 - c. The participant or representative fails to comply with legal/financial obligations as an employer of domestic workers and/or is unwilling to participate in advisement training or training to remedy non-compliance.
 - d. The participant or representative fails to maintain a safe working environment for PCAs.
 - e. The participant or representative is unable to manage the monthly budget as evidenced by: repeatedly submitting time sheets for unauthorized budgeted amount of care; underutilizing the monthly budget, which results in inadequate services; and/or continuing attempts to spend budget funds on non-allowable goods and services.
 - f. The participant's health and well-being is not maintained through the actions and/or inactions of the participant or representative.
 - g. EOHHS receives a substantiated critical incident report involving the participant that cannot otherwise be remediated.
 - h. The participant or representative refuses to cooperate with minimum program oversight activities, even when staff has made efforts to accommodate the participant.
 - i. The participant or representative fails to pay the amount determined in the post eligibility treatment of income, as described

Subchapter 00 Part 8 of this Chapter, Post-Eligibility Treatment of Income, to the fiscal agency.

- j. There is evidence that Medicaid funds were used improperly or illegally according to local, State or Federal Regulations.
- k. No Conflict-Free Case Management Agency is able to provide proper service, such as the inability to meet repeated requests for services, satisfy participant needs, and/or provide the individual with a quality working relationship.
- l. The participant or representative fails to notify both the Conflict-Free Case Management Agency and the Fiscal Intermediary of any change of address and/or telephone number within ten (10) days of the change.

3. When a Medicaid-eligible participant is involuntarily disenrolled from ~~the Personal Choice Self-Directed~~ Program, the participant is referred to EOHHS or BHDDH to explore other available options.

24. EOHHS shall notify the participant in writing that they intend to remove the participant from their ~~Self-Directed~~ Personal Choice Program, the reason for disenrollment, and shall inform the participant that services ~~will~~ may be provided through Medicaid long-term care via a home health agency.

~~3.~~ ~~The participant shall be involuntarily disenrolled from the Self-Directed Program if they lose either Medicaid financial eligibility or level of care eligibility.~~

C. Voluntary Disenrollment

- 1. ~~The~~ participant or representative may request discharge from ~~a Self-Directed the Personal Choice~~ Program with a thirty (30) day written notice to the Conflict-Free Service Advisement Agency Case Management Agency and Fiscal Intermediary.
- 2. A participant's representative must provide both the Conflict-Free Service Advisement Agency Case Management Agency and Fiscal Intermediary with a thirty (30) day written notice stating they are no longer able to provide representative services.

D. Disenrollment Appeal

- 1. The Conflict-Free Service Advisement Agency Case Management Agency and the Fiscal Intermediary shall inform the participant in writing of an involuntary disenrollment with the reason and provide ~~s~~ the participant with a Medicaid appeal procedure and request forms.

2. The participant has the right to appeal utilizing the standard appeals process as described in [Part 10-05-2 of this Title](#), Appeals Process and Procedures for EOHHS Agencies and Programs.

2.7 Appeals

An opportunity for a hearing is granted to an applicant/~~recipient participant~~, or their designated representative, when a person is aggrieved by an agency action resulting in a disenrollment, suspension, reduction, discontinuance, or termination of a ~~consumer's participant's~~ services or budget, or a requested adjustment to the budget or service is denied in accordance with the provisions of [Part 10-05-2 of this Title](#), Appeals Process and Procedures for EOHHS Agencies and Programs.

2.98 Screening Requirements and Qualifications for PCAs

- A. Age: PCAs must be at least eighteen (18) years of age.
- B. Work Status: PCAs must be authorized to work in the United States.
- C. Relationship: Individuals cannot work as a PCA if they are the ~~consumer's participant's~~ representative, spouse, ~~legal guardian~~, financial power of attorney, or Social Security Representative Payee.
- D. Driver's License: If the PCA is approved to provide transportation for the ~~consumer participant~~, the PCA must have a valid driver's license, liability coverage and provide their own vehicle.
- E. Training: Training requirements vary ~~by based on program and~~ how the prospective PCA is introduced to the program. PCAs will not be paid until the ~~consumer participant~~ has verified that ~~the~~ training has occurred.
 1. If the PCA is known to the participant, the participant may choose to provide in-home training, request that the PCA undergo mandatory orientation and training, or a combination of in-home training and selected courses from the mandatory orientation and training.
 2. If the PCA is introduced to the Personal Choice program through the registry, the PCA is required to undergo mandatory orientation and training before the PCA is listed on the registry.
 3. Participants may request that their PCA complete continuing education courses offered by EOHHS or its designee. PCAs may also voluntarily complete continuing education courses.
- F. ~~4. Personal Choice Program~~

~~GG.~~ Background Checks: All ~~Personal Care Aides PCAs~~ and ~~consumer participant~~ representatives that have direct contact with ~~consumers participants~~ must submit to a National Criminal Background Check supported by fingerprints every five (5) years, annual Office of Inspector General (OIG) screenings, and an annual Abuse Registry Record Check to be authorized to provide assistance to ~~consumers participants~~ under the ~~Personal Choice and Independent Provider Programs~~.

1. The FI is EOHHS' designated agent to provide authorization for the Department of Attorney General to complete the National Criminal Background Check supported by fingerprints.
2. The individual to be fingerprinted is responsible for the cost of the fingerprint.
3. To participate in the ~~Self-Directed Personal Choice~~ programs as the ~~consumer's participant's~~ representative or in a provider (PCA) capacity, there must be no evidence of disqualifying convictions as described in R.I. Gen. Laws § 42-7.2-18.4. The FI is EOHHS' designated agent to receive information about whether a disqualifying conviction appears during the background check. The Department of Attorney General will not disclose the nature of the conviction to the FI. The FI will notify EOHHS, accordingly.
4. Evidence of any disqualifying conviction will bar the individual from acting as a PCA or representative. The individual may request a copy of their record from the Department of Attorney General and request an exception from the EOHHS Office of Community Programs Review Committee. The individual may participate as a PCA or representative, notwithstanding evidence of a disqualifying conviction, only if, in the judgment of the EOHHS Office of Community Programs Review Committee, such participation:
 - a. Would not threaten the health, welfare, or safety of ~~members participants~~; and
 - b. Would not compromise the integrity of the Rhode Island Medicaid program.

~~5. PCAs who have completed the fingerprint-supported background check within the last five (5) years who transition between the Personal Choice and the Independent Provider Programs to the Self-Directed program are not required to resubmit until the current fingerprint expires.~~

2.10.1 Eligibility

- B. Functional Assessment – The functional assessment rates the participant's level of assistance required to complete each task, and the number of times the task is performed. If there is a condition or characteristic in addition to the disability, the

participant may require ~~the need for~~ more time to complete a particular task. These conditions and/or characteristics do not apply to all ADL/IADL tasks; they only apply if the condition ~~would have~~ has a direct impact on the performance of the task. medical information and self-reporting, the assessor may observe or request that the participant demonstrate their ability to complete a task.

1. Initial assessments occur upon entry to the Personal Choice program and reassessments occur annually thereafter. A participant or representative may request a reassessment sooner if their situation has changed and there is either an increased or decreased need for assistance. The Case Manager may also perform a reassessment sooner if there are life changes resulting in a possible increase or decrease in need for assistance.
 2. When a participant is identified through the Nursing Home Transition Program/Money Follows the Person Program, a temporary assessment shall be conducted. This shall be a temporary assessment because it is conducted while the participant is in an institutional Nursing Home setting and may not fully reflect the participant's functional abilities within a non-institutional home setting. The Conflict-Free Service Advisement Case Management Agency selected by the participant ~~consumer~~ shall complete an updated assessment within ninety (90) days of the participant returning home. After the temporary assessment is completed, the Office of Community Programs staff shall review the assessment with the participant to:
 - a. Verify that the participant wants to participate in the Personal Choice ~~Personal Choice Self-Directed~~ program; and
 - b. Identify the participant's choice of Conflict-Free Service Advisement Agency Case Management Agency responsible for the additional assessments and oversight of the participant's ~~program services~~. ~~The participant will have appeals rights as outline in Part 10-05-2 of this Title, Appeals Process and Procedures for EOHHS Agencies and Programs.~~
- C. In addition to the nursing and functional assessments, staff will conduct an environmental assessment ~~and a Mini Universal Comprehensive Assessment Tool (UCAT) assessment~~ as part of the eligibility determination and plan of care.

2.100.3 Budget Development

- A. Personal Choice monthly budgets are based on the functional assessment of participant need for hands-on assistance or supervision with ADLs (such as bathing, toileting, dressing, grooming, transfers, mobility, skincare, and/or eating) and IADLs (such as communication, shopping, housework, meal preparation,

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and/or food shopping), as described in § 2.9.2 of this Part and listed in the tables ~~at the end of~~ § 2.15 of this Part.

- B. The ~~Conflict-Free Case Management Agency~~ and Service Advisement ~~Team Agency~~ will perform assessments to determine the individual's budget and Individual Service and Spending Plan (ISSP). In accordance with the service provider agreements, a budget is developed based on the amount and level of assistance required, frequency of the task, and presence of any secondary conditions that would require a need for more time to complete the task. There are six (6) levels of assistance for each activity.
1. Determine Monthly Budget Amount: Each Activity of Daily Living (ADL) and Instrumental Activity of Daily Living (IADL) has an amount of unit and/or functional time allowed to complete the task. The monthly figures for each ADL/IADL are added together to form a monthly budget. Taxes, worker's compensation insurance, and administrative costs are deducted from the ~~PCP~~ Personal Choice participant's monthly budget.
 - a. Unit Time – the amount of time allowed to complete the task if the participant is unable to participate and requires total assistance with the task.
 - b. Functional Time – the amount of time allowed to complete the task if the participant is unable to participate and requires total assistance with the task and certain conditions or characteristics are present. These characteristics are listed in the table ~~at the end of~~ in § 2.15 of this Part.
 2. EOHHS will implement a budget re-assessment for any budget which is decreased by five hundred dollars (\$500.00). This second (2nd) level re-assessment will be conducted by an EOHHS nurse and social worker in the home of the ~~consumer~~ participant.
 3. ~~Written~~ Documentation of the assessment will be maintained by the ~~Conflict-Free Service Advisement Case Management Agency~~, such as the functional, mobility and health assessments.

C. The budget amount is determined by EOHHS and may be subject to change. The budget funds are set aside by Medicaid for the purchase of assistance to meet individual participant needs. The participant determines what services are required and the amount the participant is willing to pay for those services from their budget. Participants determine the hourly wage for PCA, which can range from fifteen dollars (\$15.00) up to twenty-one dollars (\$21.00) per hour. The budget does not allow for companionship, watching, or general supervision of a participant.

DD. The individual budget for participants in the Personal Choice program is limited to the purchase of personal care, homemaking, goods and services, and related

taxes and fees. However, because participants eligible for Medicaid long-term services and supports, participants are entitled to other medically necessary services which are paid directly by Medicaid outside of the scope of the individual budget. The person-centered service plan includes referrals to out-of-budget services. Such services include, but are not limited to, physician services, prescription drugs, adult day care, case management services, home modifications, home delivered meals, minor environmental modifications, PERS, special medical equipment, and supports facilitation. Such services may affect the individual budget amount if they increase the participant's independence in the community and reduce the level of assistance required to complete a particular task.

E. The ~~service advisor~~ Case Manager will provide the participant/representative with a copy of the approved budget and the approved ISSP after sign off by the participant. Additional copies may be provided upon request.

FE. The ~~Conflict-Free Service Advisory Case Management~~ Agency will provide the Personal Choice fiscal intermediary with a copy of the approved budget.

2.110.4 Participant Directed Goods and Services

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A. Participants may also set aside a specified amount of their budget each month to purchase services, equipment and supplies not otherwise provided by Medicaid that address an identified need, are documented in the approved ISSP, and meet the following requirements:

1. Alternative funding sources are not available; and
2. The item or service would decrease the need for other Medicaid services; and/or
3. The item or service would promote inclusion in the community; and/or
4. The item or service would increase the individual's ability to perform ADLs/IADLs; and/or
5. The item or service would increase the person's safety in the home environment.

B. Limitations:

1. Participant goods and services generally do not include any good/service that is medical in nature and requires a physician's order which is covered by health insurance or another primary payor~~Some items or services that are medical in nature may be reimbursed with a health care practitioner's order.~~

2. Items must be necessary to ensure the health, welfare, and safety of the participant, or must enable the participant to function with greater independence in the home or community, and to avoid institutionalization.
3. Items cannot be restrictive to the individual or strictly experimental in nature.
4. Items for gifts or loans to others, housing and/or utility expenses, clothing, groceries, entertainment, alcohol or tobacco, or payments to a representative are not covered.
54. Items cannot duplicate equipment provided under Medicaid-funded primary and acute care or through other sources of funding, such as Medicare, private insurance or ~~without charge~~ free services from community organizations.
56. Items intended to lessen the need for assistance from a caregiver will result in a redetermination of need for caregiver assistance.

2.12 Participant Rights and Responsibilities

A. Every participant has the right to:

1. Be treated as an adult, with dignity and respect at all times;
2. Privacy in all interactions with EOHHS, the Case Manager, and the Fiscal Intermediary and freedom from unnecessary intrusion;
3. Make informed choices based upon appropriate information provided to the participant, and have questions answered and choices respected, while respecting the rights of others to disagree with their choices;
4. Freely choose between approved providers as appropriate or applicable;
5. Feel safe and secure in all aspects of life, including health and well-being, be free from exploitation and abuse, and not be overprotected;
6. Realize the full opportunity that life provides by not being limited by others, by making full use of the resources their self-directed program provides, and by being free from judgments and negativity;
7. Live as independently as they choose;
8. Have their individual ethnic background, language, culture and faith valued and respected;

9. Be treated equally and live in an environment that is free from bullying, harassment and discrimination;
10. Voice grievances about care or treatment without fear of discrimination or reprisal;
11. Voluntarily withdraw from the Personal Choice program at any time;
12. Manage PCAs by:
 - a. Deciding who to hire, whether self-selected or selected from the registry of available PCAs;
 - b. Deciding what special knowledge or skills the PCA must possess;
 - c. Training each PCA to meet individual needs; and
 - d. Replacing PCAs who do not meet individual needs.
13. Request a new assessment and/or person-centered service plan if needs change;
14. Know about all fees;
15. Appeal any decision made by the Conflict-Free Case Management Agency, Fiscal Intermediary, or EOHHS and expect a prompt response.

B. Every participant has the responsibility to:

1. Manage and maintain their health and access medical help as needed, or seek assistance in order to do so;
2. Demonstrate the required skills and abilities needed to self-direct PCAs without jeopardizing their health and safety, or designate a representative to assist them;
3. Be aware of the Personal Choice program rules and regulations;
4. Act as a supervising employer by:
 - a. Screening prospective PCAs to determine who is best able to meet the participant's needs at the desired times;
 - b. Interviewing prospective PCAs if they are not already known to the participant;
 - c. Requesting and checking references for prospective PCAs if they are not already known to the participant;

- d. Completing hiring agreements with each PCA;
 - e. Ensuring that the PCA is oriented, trained, and understands the participant's goals, boundaries and house rules;
 - f. Deciding wages and schedules for each PCA, and ensuring that hours do not exceed forty (40) hours per week;
 - g. Developing a plan for communication process for the PCA to inform the participant if they will be late or unable to report to work;
 - h. Supervising PCAs and ensuring they are performing their duties as required;
 - i. Completing Electronic Visit Verification, unless the PCA lives in the same household;
 - j. Reviewing timesheets for accuracy, ensuring that time is not billed when services were not delivered by the PCA (such as when the participant was on vacation, in an emergency room, in an inpatient hospital stay, at an adult day care center, or receiving therapies or other services), and submitting timesheets to the Fiscal Intermediary in a timely manner;
 - k. Following all employment laws and Regulations, including providing a safe, harassment-free working environment and treating all employees with dignity and respect;
 - l. Following all requirements of the Fiscal Intermediary/IRS for hiring and paying PCAs, including completing all necessary forms and paying PCAs promptly; and
 - m. Deciding whether and when to dismiss a PCA and notifying the Fiscal Intermediary when termination occurs.
5. Develop an emergency back-up plan in the event a PCA is unavailable;
6. Manage personal care services by:
- a. Meeting and cooperating with the Case Manager and Service Advisement Team as required for completing all needed assessments and monitoring; and
 - b. Developing and monitoring an ISSP to address personal care service needs;
7. Report instances or concerns about critical incidents to the Conflict-Free Case Management Agency and/or appropriate State agency;

8. Understand what Medicaid fraud is and how to report it;
9. Track expenses so that the budget is not exceeded and contact the Fiscal Intermediary in the event of a billing or payment complaint;
10. Notify the Conflict-Free Case Management Agency and Fiscal Intermediary of absences from home that are nonmedical (vacations or trips); and
11. Notify the Conflict-Free Case Management Agency of any changes in medical status, admissions to hospitals or other medical facilities, or if other services are being provided (for example, visiting nurses, hospice, home delivered meals, or adult day services).

C. The participant may request that the PCA perform additional tasks that help them continue to live in the community. The PCA may, but is not required to, perform such additional tasks. The participant cannot ask the PCA to support another person. The requested task cannot pose a health or safety risk to the participant or the PCA, the PCA should feel comfortable and confident in the ability to perform the task, the task must be legal and cannot be considered fraudulent.

2.10.53 EOHHS Responsibilities

- A. EOHHS shall be responsible for the following activities:
 1. Approve budgets and individual service and spending plans;
 2. Authorize participant-directed goods and services;
 3. Authorize out-of-budget services when medically necessary;
 34. Provide Personal Choice participants with notice of budget amount through a standardized letter which provides information on budget amount and any changes that occurred in the assessment process. The letter also includes information on the appeals process;
 45. Certify, monitor, and conduct ~~quarterly~~ audits of Conflict-Free service advisement-Cease Management and Fiscal Intermediary agencies.
- B. The EOHHS reviews and approves the assessment and individual service and spending plan (ISSP) for each Personal Choice participant before services begin.
- C. Any changes made to a Personal Choice participant's ISSP must be forwarded to EOHHS for review and approval.
- D. Once the ISSP is approved, EOHHS will notify the appropriate Conflict-Free Service Advisement-Cease Management Agency who will inform the Fiscal Intermediary and participant that the ISSP will be implemented.

- E. EOHHS is responsible for educating participants, representatives and PCAs about reporting critical incidents and for reviewing reported critical incidents with the Conflict-Free Service Advisement Case Management Agency to determine feasibility of the individual continuing participation in the Personal Choice Program.
- F. If Medicaid fraud is either known or suspected, EOHHS, through the Office of Community Programs and the Office of Program Integrity, shall refer the case to the Medicaid Fraud Control Unit at the Rhode Island Department of Attorney General.

2.10.6 PCA Registry

1. Individuals working as PCAs are not required to join the registry, for example when the PCA is only interested in working for one (1) dedicated consumer participant. PCAs will only be listed if they have expressed interest to EOHHS to be listed.
- ~~2.~~ 2. ~~Individuals PCAs who are trained by the consumer participant for all additional training beyond Mandatory Orientations (required training for all PCAs participating in the IP program) are not listed in the registry and cannot work for other consumers participants (with the exception of other consumers who also self train) through the registry unless they complete mandatory orientation and training and certifications.~~ No accommodations are made to list provisional providers on State registries/website.
- ~~3.~~ 3. ~~PCAs listed on the registry have undergone formal training and meet minimum training requirements in order to participate in the IP program.~~
- ~~45.~~ Consumers-Participants may use the registry to find and hire PCAs.
- ~~65.~~ The frequency of updates to the registry is dependent on the availability of qualifying PCAs.
- ~~76.~~ No consumer participant information is listed on the registry.

2.15 ~~Attachment I~~ Personal Choice Assessments and Budget Development Tables

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A. Six (6) Levels of Assistance:

Independent	LTSS beneficiary is independent in completing the task safely.
Set-Up	LTSS beneficiary requires brief supervision, cueing, reminder and/or set-up assistance to perform the task.
Minimum	LTSS beneficiary is actively involved in the activity, requires some hands-on assistance for completion, thoroughness or safety. Needs verbal or physical assistance with twenty-five (25%) of the task.
Moderate	LTSS beneficiary requires extensive hands-on assistance but is able to assist in the process. Needs verbal or physical assistance with fifty percent (50%) of the task.
Extensive	LTSS beneficiary requires verbal or physical assistance with seventy-five percent (75%) of the task.
Total Assistance	LTSS beneficiary cannot participate or assist in the activity and requires one hundred percent (100%) assistance with the task.
Not Applicable	This task does not apply to this LTSS beneficiary.

B. Functional Characteristics for Each ADL/IADL:

ADL/IADL	Functional Characteristics
Bowel	Behavioral Issues, Limited ROM, Spasticity/Muscle Tone
Dressing	Behavioral Issues, Limited ROM, Spasticity/Muscle Tone
Eating	Behavioral Issues, Fine Motor Deficit, Spasticity/Muscle Tone
Grooming	Cognitive, Limited ROM, Spasticity/Muscle Tone
Mobility	Balance Problems, Decreased Endurance, Pain, Spasticity/Muscle Tone
Shower	Balance Problems, Behavioral Issues, Limited ROM, Spasticity/Muscle Tone
Skin Care	Open Wound
Sponge Bath	Behavioral Issues, Limited ROM, Spasticity/Muscle Tone
Transfers	Balance Problem, Limited ROM, Spasticity/Muscle Tone
Tub Bath	Balance Problem, Behavioral Issues, Limited ROM, Spasticity/Muscle Tone
Urinary/Menses	Behavioral Issues, Limited ROM, Spasticity/Muscle Tone
Communications	No Functional Characteristics
Housework	LTSS beneficiary Lives Alone
Meal Preparation	No Functional Characteristics
Shopping	No Functional Characteristics

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C. Activity and Time Allotments, in minutes;

Activity	Unit Time	Functional Time
Sponge Bath	30	45
Shower	20	40
Tub Bath	40	45
Dressing	15	20
Eating	20	40
Mobility	10	10
Urinary/Menses	10	15
Transfers	5	10
Grooming	8	8
Skin Care	10	10
Bowel	30	50
Meal Preparation	25	25
House Work	12.5	25
Communications	15	15
Shopping	60	60
Medications	2	5

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D. ADL Multipliers:

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E. IADL Multipliers:

Level of Assistance	Meal Preparation	Housework	Communications	Shopping
Total Assist	1	1	1	1
Maximum Assist	1	1	1	1
Moderate Assist	.75	.75	.75	1
Minimum Assistance	.5	.5	.5	1
Set-Up Assistance	.25	.25	.25	1
Independent	0	0	0	0