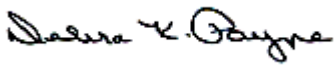
	POLICIES AND PROCEDURES State of Tennessee Department of Intellectual and Developmental Disabilities	Policy #: 80.3.11	Page 1 of 4
Policy Type: Administrative		Effective Date: June 27, 2013	
Approved by:  <hr/> Commissioner		Supersedes: N/A Last Review or Revision:	
Subject: Case Management Services While on DIDD Waiver Waiting List			

- I. **AUTHORITY:** Tennessee Code Annotated (TCA) 4-3-2708, TCA 33-1-303, Code of Federal Regulations (CFR) 42 CFR 483.420.
- II. **PURPOSE:** To ensure persons seeking services administered by the Department of Intellectual and Developmental Disabilities (hereinafter "DIDD" or "Department") who have been placed on the DIDD Waiver Waiting List receive case management services.
- III. **APPLICATION:** This policy applies to the Central Office Intake, Regional Office Intake and Case Management units, and any person attempting to access DIDD services.
- IV. **DEFINITIONS:**
 - A. **Department of Human Services (DHS)** shall mean the State department responsible for providing a quality system of coordinated human services to meet the changing needs of Tennesseans and enable them to achieve self-sufficiency. The DHS completes financial eligibility determinations for Medicaid services.
 - B. **Department of Intellectual and Developmental Disabilities (DIDD)** shall mean the State department that is responsible for operational administration of three Medicaid-funded Home and Community-Based Services waiver programs.
 - C. **DIDD Waiver Waiting List or Wait List** shall mean a list established and maintained by DIDD that identifies individuals by their established category of need who have completed the general intake process and are seeking Home and Community Based Services operated by DIDD.
 - D. **Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID)** shall mean a licensed facility approved for Medicaid vendor reimbursement that provides specialized services for individuals with an intellectual disability or related conditions and that complies with current federal standards and certification requirements for ICF/IID.
 - E. **Intake Specialist** shall mean a regional office employee within the Intake Unit whose primary responsibility is to act as the point of contact for individuals initially requesting services through the DIDD regional toll-free telephone numbers or other referral sources.
 - F. **Intake Case Manager** shall mean a Regional Office employee within the Intake Unit whose primary responsibilities include completing the Intake Assessment, conducting face-to-face meetings, obtaining documentation of intellectual disability, placing individuals on the DIDD Waiver Waiting List, monitoring caseloads, requesting to begin

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the waiver enrollment process, assisting in the completion of Pre-admission Evaluations (PAEs), and locating DIDD contracted agencies to provide community services.

- G. **Wait List Date** shall mean the date the person's name was added to the DIDD Waiver Waiting List following verification of diagnosis of intellectual disability prior to the age of 18.

- V. **POLICY:** The Intake and Case Management Units shall maintain a DIDD Waiver Waiting List that includes all persons who have been preliminarily identified as meeting requirements for enrollment into a Medicaid HCBS waiver program for individuals with intellectual disabilities.

- VI. **PROCEDURES:**
 - A. Intake Case Load Assignment and Reassignment Process
 - 1. All persons on the DIDD Waiver Waiting List shall have an intake case manager assigned. These assignments shall be communicated in writing to the person supported and/or legal representative.
 - 2. The Regional Intake Director or Intake Coordinator shall reassign a person to a different caseload when:
 - a. Notice has been provided that a case manager is resigning.
 - b. A determination has been made to reassign or redistribute caseloads.
 - c. The person supported and/or legal representative requests it.
 - 3. The Regional Intake Director or Intake Coordinator shall inform the person supported and/or legal representative of the change in case managers via the New Case Manager Letter.
 - 4. The newly assigned intake case manager shall make contact with the person supported and/or legal representative within one (1) week of receiving the case. Contact shall be documented and may be via written correspondence or telephone call.
 - B. Individual and Legal Representative Requests To Change Intake Case Managers
 - 1. If the person and/or the legal representative request a change in their assigned intake case manager, the case manager supervisor/coordinator shall:
 - a. Make contact with the person and/or legal representative to discuss the request and to assist in mediating a solution, if possible.
 - b. Review caseload availability to determine whether the requested change is possible.
 - c. Assign a new intake case manager as appropriate.
 - d. Notify the person and/or legal representative by telephone and in writing regarding the change.

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2. If DIDD is unable to honor the change request, the case manager supervisor/coordinator shall provide written notification to the person and/or legal representative. The notification must include the reason(s) the request cannot be honored and also provide an expected date when the request can be honored.
- C. Intake Case Management Duties
1. Services and Supports
 - a. Intake case managers shall assist the person on the waiting list to seek additional services and supports by:
 - 1) Providing information on various community resources and programs available for which the person may qualify.
 - 2) Making referrals as appropriate to any state or federally funded programs that may be available.
 - 3) Providing information on advocacy and support groups as requested.
 2. Contact
 - a. Intake case managers shall maintain contact with persons and/or legal representatives while the person is on the DIDD Waiver Waiting List.
 - b. Contacts shall be defined as face to face meetings, phone calls, emails and/or written correspondence.
 - c. Frequency and type of contact shall be determined based on the needs and preferences of the person and/or legal representative. Case managers and the person seeking services/family/legal representative shall collaboratively determine type and frequency of contact. However, contact shall occur at least annually.
 - d. Persons in the crisis and urgent categories shall have more frequent contact than persons in other categories.
 - e. Intake case managers shall document the person's and/or legal representative's preference for contact type and frequency.
 - f. Intake case managers shall maintain the most current contact information for the individual and/or legal representative.
 - g. Any information update shall be appropriately documented by the intake case manager as soon as possible to ensure the integrity of the wait list. The designated data entry staff shall update the wait list.
 - h. All contacts shall be documented in a contact note and maintained in the person's file.
 3. When a person moves or otherwise transfers from one region to another, the transfer shall be coordinated between the exiting and receiving region with regard to updating the individual's records and the change from the exiting region's to the receiving region's wait list.

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D. Removal From The Waiting list

1. Persons shall be removed from the wait list in the following situations:
 - a. The person has enrolled into a DIDD operated waiver program.
 - b. The person enrolls into other funded services (ICF/IID, Nursing Home, etc.) and does not want or no longer qualifies for DIDD operated waiver programs.
 - c. The person and/or legal representative requests it.
 - d. The person is deceased.
 - e. The person is unable to be located after three (3) months of attempts. The case manager shall make diligent attempts to contact the person using the following methods and clearly document those efforts in the individual's intake wait list record:
 - 1) Multiple phone calls at various times and days – with documentation;
 - 2) DHS has been contacted for updated contact information; and
 - 3) Letter has been sent via certified mail, return receipt requested.
 - f. The person is not eligible for DIDD operated waiver programs as there is no documented proof of diagnosis of intellectual disability prior to the age of 18.
 - g. The person has moved out of state.
2. The case manager supervisor shall review the documentation and approve removal from the wait list.
3. Once the determination to remove the individual from the wait list has occurred, the case manager shall complete a Wait List Status Change Form, submit the form for wait list data removal, and file the form in the individual's file.
4. A letter shall be sent to the person and/or legal representative informing them of the change in their wait list status.
5. If an individual is removed from the wait list for any of the above reasons (with the exception of being deceased) but later requests to be placed back on the wait list and meets all eligibility requirements, then the person shall be placed on the wait list as appropriate and given a new wait list date. The original wait list date shall be maintained in the individual's record.

VII. **ATTACHMENTS:**

- A. Case Management Contact Log
- B. Wait List Status Change Form
- C. Wait List Status Change Letter
- D. New Case Manager Letter
- E. Certified Unable to Locate Letter