1. **AUTHORITY:** Tennessee Code Annotated (TCA) Section 4-3-2701, TCA Section 4-3-2708, ~~TCA Section 33-1-103, TCA~~ Section 33-1-201, TCA Section 33-1-302, TCA Section 33-3-103,and TCA Section 33-3-101.
2. **PURPOSE:** The purpose of this policy is to clarify the community transition process requirements for people enrolled in one of the State’s 1915(c) Home and Community Based Services (HCBS) Waivers or state-funded services.
3. **APPLICATION:** This policy applies to all DIDD staff, support coordination agencies, and contracted providers who may be involved in any community transition for people enrolled in ~~DIDD~~ Waiver or state-funded services.
4. **DEFINITIONS:**
5. **Case Manager** shall mean an individual who assists the person in gaining access to needed Self-Determination Waiver and other Medicaid State Plan services as well as other needed services regardless of funding source; develops the initial interim Individual Support Plan and facilitates the development of the Individual Support Plan; monitors the person’s needs and the provision of services included in the Individual Support Plan; monitors the person’s budget, and authorizes alternative back-up services for the person, if necessary.
6. **Circle of Support (COS)** shall mean a group of people selected by the person supported who meet together on a regular basis to help a person supported plan for and accomplish his/her personal outcomes and actions. The person supported is the focus or the center of the COS. ~~At a minimum, this includes the person supported, his/her family member(s) and/or conservator(s), Case Manager, and the providers of any supports and services that the person receives. Friends, advocates, and other non-paid supports are included at the invitation of the person~~
7. **Community Transitions** shall mean the movement of a person supported from one ~~community~~ residential service provider to another ~~community service provider,~~ from one residential setting to another residential setting, ~~or~~ from one ~~grand region~~ type of residential service to another ~~grand region.~~ type of residential service, from one community service provider to another (e.g., Day, Independent Support Coordination, PA), or between regions.
8. **Community Transition Coordinator (CTC)** shall mean the Regional Office staff person who oversees the community transition process and ensures that transitions are implemented consistently and according to this policy.
9. **Home and Community Based Services (HCBS) Waiver or Waiver** shall mean a waiver program approved for Tennessee by the Centers ~~of~~for Medicare and Medicaid Services to provide services to a specified number of Medicaid eligible individuals who have an intellectual disability ~~(e.g. mental retardation)~~ and who meet criteria of Medicaid reimbursement of care in an Intermediate Care Facility for ~~the Intellectually Disabled.~~ Individuals with Intellectual Disabilities (ICF/IID). The ~~Tennessee~~ HCBS waivers for people with Intellectual Disabilities in Tennessee are operated by the ~~Department of Intellectual and Developmental Disabilities (DIDD) include:~~ with oversight by TennCare, the state Medicaid agency.

**Independent Support Coordinator (ISC) or Case Manager** shall mean a person who provides support coordination services to a person supported and who is responsible for developing, monitoring and assuring the implementation of the Individual Support Plan (ISP) and who assists the person supported in identifying, seeking, obtaining, coordinating and using both paid services and natural supports to enhance the person’s independence, integration in the community and productivity as specified in the ISP.

**Individual Support Plan (ISP)** shall mean ~~Tennessee’s format for the federally required plan of care. The ISP is a person-~~a person centered document that provides ~~an individualized~~, a comprehensive description of the person supported as well as guidance for ~~achieving~~ how to accomplish unique outcomes that are important to the person in achieving a good quality of life in the setting in which ~~they reside. The ISP clearly describes the needs of the person and the services and supports required to meet those needs. The ISP also serves as the vehicle for justifying the person’s need for services so that services can be authorized by the DIDD Regional Offices.~~ the person chooses to reside.

1. **Natural Supports** shall mean family members and close (constant, stable, steady, long-lasting, and established) friends of the person supported. A natural support can be someone who is relatively new in the life of the person supported. Natural supports are not paid by DIDD or by contracted providers.
2. **Non-Routine Events** shall meanevents that would vary from the regular routine and that reasonably could be anticipated and planned for in advance so that supports could be arranged. Significant events may require the ISP to be amended.
3. **Person Centered Planning** shall mean the process by which ~~focuses on a person in terms of who~~ the ISP is developed to identify the needs and preferences of the person supported as described by the person, in collaboration with the COS so that the person may receive needed services and supports in the manner they ~~are, what~~ prefer. The process is led by the person supported to the greatest extent possible or they ~~want in life, and how their desired outcomes may be accomplished. Based on the values of human rights, inter-dependence, social inclusion, and responsible choice,~~ are supported in leading this process ~~discovers the person’s gifts, skills and capacities while balancing what is important to and important for the person now and in the future.~~to the greatest extent possible.
4. **POLICY:**  This policy outlines a person-centered ~~planning~~ community transition process for ~~transitions of~~ people supported ~~from one DIDD service provider to another, from one residential home to another or from one grand region to another~~. who are receiving Waiver or state-funded services. This process ~~requires the wishes and desires of the person supported be considered by the COS~~ is led by the person to the fullest extent possible, with support from the Circle of Support (COS) in making sure the person’s needs and ~~incorporated into the planning process. The COS in conjunction with the person shall determine if the proposed transition is in the person’s best interests and if not, provide justification for pursuing the transition over objections.~~ preferences are met.
5. **PROCEDURES:** 
   1. General Guidelines**:** Transition from any service provider initiated by the ~~Person, Circle of Support (COS) or Conservator:~~~~Any~~ person ~~enrolled~~ or legal representative.
      1. All transitions must be person centered and in ~~DIDD services~~ accordance with rules set forth by the Centers for Medicare and Medicaid Services (CMS).
      2. The person supported has the right to choose ~~service provision from all available and qualified~~ services and providers ~~in the DIDD provider network.~~as well as where and with whom he or she resides. The person supported leads the person centered planning process, to the fullest extent possible.
      3. ~~The person supported~~ Moves for agency convenience are prohibited.
      4. Solicitation of persons supported for the provider’s benefit is not acceptable and is a violation of the Provider Agreement solicitation clause.

5. The Independent Support Coordinator (ISC) or Case Manager (CM) of the person supported is responsible for facilitating the transition, completing the ~~transition form~~ Transition Planning Form, compiling documents to be included in the transition packet, and forwarding the entire packet to the respective DIDD Regional Office CTC.

* 1. ~~Any change in provider initiated by the COS must:~~
     + 1. ~~Be in the best interest of the person.~~
       2. ~~Have the agreement of the person supported or document the reason the transition is being pursued without such agreement.~~
  2. ~~If a person in services wishes to transition from one provider to another, and makes this desire known, regardless of reason the COS has the responsibility to pursue this request.~~

6. A transition meeting is required for transitions, excluding emergency transitions, and must include the person and the COS. In case of a provider change, both providers need to be present either in person or by phone for the transition meeting. However, the person supported and or conservator may request that the ISC/CM serve as the liaison and that either or both providers not attend the meeting, regardless of the reason for the transition.

7. Contested Transitions

* + - 1. If there is disagreement about the appropriateness of a proposed transition, the person or any member of the COS ~~shall inform the person of the outcome of that~~ may contact the DIDD Regional Director or Complaints Coordinator to request assistance with conflict resolution (e.g. mediation).

b. If the person ~~is not able to transition to the chosen provider, alternatives need to be offered.~~ supported expresses disagreement with a proposed transition, the transition plan must state the reasons for the disagreement and the reason the transition is being pursued without ~~that~~ the person’s agreement.

c. The person’s preferences should be considered even if the person has a legal conservator who typically makes those decisions. In their role as alternate decision maker, conservators or legal representatives may pursue contested transitions based on consideration of the person’s desires and best interest, not in lieu of the person. Conservatorship papers may be requested and reviewed by the Regional Office Community Transition Coordinator (CTC). This review is to ensure that the conservator has the legal authority to pursue or consent to the transition ~~regardless of the person’s wishes~~

d. The person supported and or conservator may request that the ISC/CM serve as the liaison and that the provider not attend the meeting.

1. ~~If possible, the current situation shall be resolved to the person’s satisfaction. However, if there is no resolution to the satisfaction of the person, the COS shall continue to investigate alternatives or modifications of current supports to address the person’s concerns.~~ 
   * 1. ~~The person supported must be included in and informed of any decision concerning where or with whom he/she lives and what services are received. This choice is to be provided even if the person has a legal conservator that typically makes those decisions.~~ 
        1. ~~If there is disagreement among the COS members about the appropriateness of a proposed transition, any member of the COS may contact the DIDD Regional Director or Complaints Coordinator for conflict resolution or mediation.~~
     2. ~~Recruitment of individuals for providers benefit is~~ **~~not acceptable.~~** ~~If recruitment is suspected, any member of the COS is encouraged to contact the DIDD Regional Office or Complaints Coordinators prior to the transition meetings for assessment and intervention as needed.~~ 
        1. ~~A meeting shall be held with the person, family, conservator and the current service provider to discuss and attempt to resolve any concerns regarding current services. If these concerns cannot be resolved, the reasons must be thoroughly documented and submitted to the Regional Office as part of the transition packet.~~
        2. ~~If the Regional Office determines the transition does not clearly increase the benefit of services for the person, the transition plan will be denied.~~
        3. ~~In addition to the possible denial of the transition, the situation may be referred to the DIDD Investigation Unit to determine if exploitation of a person has occurred.~~
2. The residential provider and the ISC have a shared responsibility to work with the person supported and the Circle of Support to complete a person centered matching tool to assist the person with staff and housemate selection, as applicable. The components listed at a through d apply to staff selection and c and d also applies to the housemate. The matching tool should at least address the following for each person:

a. Supports wanted and needed

b. Skills needed

c. Personality Characteristics needed

d. Shared Common Interests

1. Current and emerging natural supports shall be identified as part of the transition plan and listed in the ISP so that the person supported does not lose touch with friends and family due to the transition.
2. When setting timeframes for the transition to occur, the COS should consider that transition plans must be submitted to the Regional Transition Unit fourteen (14) days prior to the expected move date to allow time for processing.
3. All residences must be properly inspected, licensed and certified, as applicable, prior to the person supported moving into the residence. Providers must abide by requirements for inspection, licensing, or any certification activities that must occur prior to occupancy if the person supported is moving from one home to another.
4. Supported Living and Semi-Independent Living homes are required to pass a housing inspection prior to occupancy. These inspections are provided free of charge by DIDD Housing Inspectors. Providers should allow seven (7) business days from the date the request is submitted to the DIDD Central Office for the inspection to be scheduled.
5. Residential Habilitation homes require a license by DIDD Licensure.
6. Family Model Residential settings require the provider agency to complete an Initial Site Assessment.

12. During transition planning the ISC/CM, along with the COS, shall determine if a therapeutic assessment is required using the Transition Planning Form.

a. If the person has a community occupational therapist (OT) or physical therapist (PT), that therapist should be contacted to request that they complete the therapeutic site assessment.

b. If the person does not currently have a community OT or PT, the ISC/CM should make a referral to one for the therapeutic site assessment.

c. If a community therapist is not available, the ISC/CM shall make a referral to the appropriate Regional Therapeutic Services Team to request an assessment.

1. All homes must be physically accessible by the person supported who will reside in that home. Modifications that are essential to the person’s accessibility and mobility must be in place prior to the move.

1. When a transition occurs, both the sending and receiving provider are responsible for completing and submitting a Day of Move form to the ISC/CM for person’s residing in the home so that the ISPs of all persons residing at both the sending and receiving sites can be updated.

B.Exceptions to the Community Transition Process

1. Exceptions to the community transition process include moves from one residential setting to another as the result of unexpected circumstances requiring immediate relocation or other non-routine events which may result in a person being away from the home residence for a limited time. There is a reasonable expectation that person shall return to the original permanent location. Types of exceptions include, but are not necessarily limited to:

a. Removal from the Family Model home as a result of an investigation.

b. Unplanned, significant home repairs.

c. Natural disasters.

d. Vacations.

2. These transitions require notification to the Regional Office and may require an ISP amendment and service authorization, but do not require a transition plan.

3. Environmental accessibility, housemate compatibility, and personal choice must still be considered for urgent or temporary transitions.

C.Inter-agency transitions initiated by person supported or conservator~~or COS:~~

1. A transition meeting is required for community transitions and includes the person supported and his/her chosen COS.
2. Both the sending and receiving agency shall be involved in all transition planning and have representatives present at all transition meetings.
3. The Transition Planning Form shall document how this transition ~~will~~ shall better meet the needs of the person supported.
4. The transition packet shall be submitted to the Regional Office at least fourteen (14) calendar days in advance of the projected transition date and shall include at a minimum:
   * + 1. An amended ISP, including the amended Section C with the name of the service providers, and the amount, frequency and duration of services.
       2. Transition Planning Form.
       3. ~~Recommended~~ Recommendations for staff cross training, if applicable.
5. Regional Office staff shall review the ISP in accordance with DIDD service authorization protocols and shall follow established procedures for approval or denial of service requests as well as issue written notice of the decision.
6. A copy of the person’s complete comprehensive record for 12 months (including applicable releases of information) must be transferred to the receiving agency no later than the date of the transition in accordance with ~~Section A.19 of~~ the Provider Agreement.

7. If the person supported or legal representative declines participating in the transition meetings, the Regional Office shall be contacted for assistance with resolving any issues.

D**.** Changes Initiated by the Current Service Provider

1**.** If a service provider has determined that services ~~will~~ shall be discontinued for a person supported, the provider shall comply with ~~Section A. 19 of~~ the Provider Manual chapter 11 section pertaining to Lease Requirements Applicable to All Residential Services, the Provider Agreement between the State of Tennessee Department of Intellectual and Developmental Disabilities and the Bureau of TennCare (Provider Agreement), and ~~an~~ the HCBS Settings Final Rule. An official notice of discontinuation of services must be issued.

2. The ISC/CM, Regional Office and legally responsible person shall work together to locate an alternative service provider for the person within sixty (60) calendar days of the issuance of the written notice.

1. Timeframes for completion of the transition must be developed as part of the plan and the Regional Office must be notified as soon as there is recognition that the transition cannot be accomplished by the original target date.
2. If this transition cannot be accomplished within that sixty (60) calendar day timeframe, the COS shall meet as soon as possible prior to expiration of the sixty (60) day timeframe to identify and address barriers to the transition. This meeting shall include a representative from the Regional Office.
3. The COS and the Regional Office are responsible to ensure that the transition occurs as soon as possible while simultaneously ensuring the person’s health and welfare and choice of residence.

E**.** Transition of Residence or Residential Services: If a person receiving residential services is transitioning from one residential service provider to another but staying in the current home; staying with the same provider in the same home, but changing services; moving to a different residential home with the same provider; or to a different residential home with a different provider, the following procedures shall apply:

1. The COS shall ensure that the person is aware of and agrees with the transition even if the person has a conservator.
   1. If the transition has been precipitated by a dispute between the person supported and/or legal representative and the provider ~~and the contracted~~ agency, the ISC/CM shall inform the DIDD Complaint Coordinator or Regional Office.
   2. A meeting shall be held with the person, ~~family,~~ conservator, and others selected by the ~~current service provider~~ person to discuss and attempt to resolve any concerns regarding current services. This meeting shall include a representative from the ~~regional office~~ Regional Office.
   3. If these concerns cannot be resolved, the reasons must be thoroughly documented by the ICS/CM and submitted by the ISC/CM to the Regional Office as part of the transition packet.
2. The Transition Planning Form shall be completed by the ISC/CM.
3. Requirements regarding a change in providers as written in ~~Policy P-008-B~~ policy 80.4.3 Personal Funds Management ~~Policy Section E.3. (h)~~ shall be completed, as applicable.
4. A personal budget shall be submitted indicating that the person supported can afford the on-going expenses associated with daily living in the new home. The COS shall determine how moving expenses ~~will~~ shall be funded. This shall be documented on the Transition Planning Form.
5. All necessary equipment and medication shall be present and ready for use at the new location ~~on~~ prior to or at the ~~day of the move.~~ time of the person’s arrival.

~~6. An assessment mobility shall be performed in order to determine the need for environmental modifications to the home. If environmental modifications are needed in order to safely support the person in the home, a site assessment of the home shall be performed. If the COS has questions concerning the need for a site assessment, the COS and or residential provider may contact the regional therapeutic services team, or a DIDD contracted physical therapist (PT) or occupational therapist (OT) for consultation.~~

~~7. All environmental modifications determined to be necessary for the person to be supported safely shall be in place, functional and inspected by the evaluating clinician (e.g. OT or PT) prior to the move unless otherwise indicated in writing by that clinician.~~

~~8. If environmental modifications cannot be completed prior to the actual move, a plan with timeframes for completion and for ensuring the person receives needed services and care shall be submitted to the Regional Office CTC as part of the transition packet. The plan must include a target date for completion of the modifications. The ISC shall notify the Regional Office CTC when the modifications are completed.~~

1. Any residence that ~~will~~ shall be occupied by a person supported must meet all applicable occupancy requirements (e.g., licensure, fire safety, etc.) in accordance with DIDD Provider Manual Chapter ~~19~~ on Residential Services prior to transition to the new residence.
2. A person supported shall remain in a rented or leased residence or room and board residential setting where a tenancy agreement is in effect until the terms of rental ~~agreement or~~, lease, or tenancy agreement have been met. This requirement may be waived when:
3. The provider agency initiating the transition is willing to accept responsibility for the payment of the remainder of the lease.
4. The person supported has made arrangements for the payment of the remainder of the lease. If this arrangement involves an advance from a provider, there must be an approved agreement in place as required in ~~P-008-B~~ policy 80.4.3 Personal Funds Management ~~Policy.~~
5. The person supported has received a notice of eviction.
6. The lessor (e.g., landlord) is in default of the lease or rental agreement per ~~Tenn. Code Ann. 47-2A-508.~~TCA Title 66, Chapters 7 and 28.
7. The sending and receiving service providers shall complete the applicable section of the Day of Move Notification of Community Transition form and submit it to the Regional Office CTC by the first business day after the move.
8. If there is a change in residence, the ISC ~~will~~ /CM shall ensure the next monthly visit occurs in the person’s new home.

F. Transition of Independent Support Coordination Agencies

1. A person in services or the person’s guardian/conservator may request a change in support coordination providers through the current ISC or by contacting the DIDD Regional Office.
2. A list of all support coordination providers shall be made available to the person and/or the guardian/conservator.
3. The DIDD Regional Office staff will work with the person supported and/or conservator to select a new ISC provider.

~~4. Before the transition is approved, the Regional Office shall receive documentation that the change is in the best interests of the person supported. No transition will be approved without such documentation.~~

1. The DIDD Regional Office shall notify the current as well as the new support coordination provider within seven (7) business days of approving the transition.
2. The transition shall be effective on the first day of the calendar month following approval of the transition.
3. The new ISC provider shall amend the ISP including Section C to reflect the new provider of support coordination services.
4. The transferring support coordination provider shall provide copies of the person’s records to the new support coordination provider in accordance with ~~Section A. 19 (a)(iv) of~~ the Provider Agreement.

G. Change in Personal Assistance or Day Providers

1. The ISC/CM shall complete the transition packet and submit it to the Regional Office CTC.

~~2. Before any change is approved, the Regional Office must have documentation that the change is in the best interests of the person. No change shall be approved without such documentation.~~

1. Prior to initiation of personal assistance services rendered in a private home, the DIDD contracted provider shall conduct an ~~inspection~~ assessment of the home to ensure the person’s health, safety and welfare can be maintained while receiving services within the designated environment.
2. If the provider determines that the person supported cannot be safely supported in the designated home, then the provider shall notify the Regional Office CTC and the ISC/CM within one (1) business day. The ISC/CM and CTC will assist the person supported with identifying alternate service options.

H. Inter-region Transitions

1. When a person is transitioning from one grand region to another, the current ISC/CM shall notify the current region’s CTC as soon as possible of the intended move.
2. The current CTC shall work with the CTC in the region of the anticipated move, the person supported, current ISC/CM, and COS to ensure an effective, efficient and person-centered planning process for the transition.
3. The current ISC/CM shall submit a transition plan for approval to the current CTC in accordance with this policy.
4. The current CTC shall review the transition plan and shall approve services according to service and rate approval protocols. The CTC shall ensure that all requirements in ~~P-008-B~~ policy 80.4.3 Personal Funds Management Policy ~~Section E.2.h~~ have been met.
5. The person supported may choose to remain with the current ISC agency or if the current ISC agency is not operating in the region of the anticipated move, the person ~~may choose a new ISC agency~~ shall choose a new ISC agency. For persons receiving state case management services, a new Case Manager will be assigned who works in the region of the anticipated move. People supported may request a change in case manager at any time by contacting the DIDD Regional Office Director of Case Management.
6. If an ISC agency in the region of the anticipated move has not been chosen, the current CTC shall work with the person and legal representative to select a new ISC agency.
7. The new ISC ~~will~~/CM shall work with the person and legal representative to identify service providers in the region of the anticipated move.
8. The current CTC and the current ISC/CM are responsible for ensuring that copies of the person’s records including cost plan information, ISP and other documents are forwarded to the CTC in the region of the anticipated move in accordance with ~~Section A. 19 of~~ the Provider Agreement and the Provider Manual.
9. The CTC of the current region is responsible for ending services in that region upon completion of the transition.
10. **CQL STANDARDS**: 2a, 2b, 4a, 4b, 8a
11. **REVISION HISTORY:** December 12, 2016
12. **TENNCARE APPROVAL:**  February 9, 2017
13. **ATTACHMENTS:**
    1. Transition Planning Form (DIDD-0603)
    2. Day of ~~the~~ Move ~~Notice~~ Notification of Community Transition