

Policies and Procedures Manual Topics for a Self-Direction Program

In Medicaid self-direction programs, individuals direct many or all of their home- and community-based services, including selecting and managing direct service workers and/or managing a budget (which may also be referred to as a service cost maximum) for needed services. In states with self-direction programs, health plans should consider developing a policies and procedures manual for case management and other staff who work with individuals choosing this option. The following topics could be included in a manual that describes the policies, practices, and operational components of the Medicaid self-direction program and health plan staff roles and responsibilities:

I. Program Introduction

- A. Program Background
- B. Philosophy – Self-Direction and Person-Centered Planning

II. General Administrative Information

- A. Organization Chart
- B. Description of Involvement of all Parties and Responsibilities
- C. Medicaid Authority Description

III. Applicant

- A. The Application Process
- B. Describe Self-Direction
- C. Eligibility Requirements
- D. Techniques for Assessing an Individual's Ability to Self-Direct
- E. Screening for a Representative
- F. Tracking Referrals

IV. Initial Planning

- A. Conduct Assessment using a Person-Centered Planning Process
- B. Develop the Service Plan using a Person-Centered Planning Process

V. Enrollment

- A. Process Enrollment Paperwork
- B. Establish Back-up Plan
- C. Explanation of Enrollment Forms
- D. Determine Service Start Date
- E. Explain Role of the Financial Management Services Provider
- F. Explain Role of the Provider of Information and Assistance
- G. Develop Individual Budget (Spending Plan)
- H. Describe Permissible Budget Items
- I. Explain Program Rules and Responsibilities
- J. Database Updates

VI. Information and Assistance

- A. General Duties
- B. Documentation Requirements
- C. Communication Requirements
- D. Data Entry

VII. Financial Management Services

- A. General Duties
- B. Documentation Requirements
- C. Communication Requirements
- D. Data Entry

VIII. Monitoring and Management

- A. Monitoring Requirements
- B. Case Manager Reports and Required Documentation
- C. Compliance Reports

IX. Change of Information or Status

- A. Self-Directing Individual
- B. Direct Service Workers
- C. Decision-Making Partner/Representative

X. Time Management and Visit Scheduling

- A. Scheduling Visits
- B. Missed or Late Visit Report
- C. Contacting the Self-Directing Individual
- D. Purpose of the Visit – Health Visit, Reassessment, or Other
- E. Reports and Documentation of Visit

XI. Termination or Reduction in Benefits

- A. Voluntary Termination
- B. Involuntary Termination
- C. Appeal Process
- D. Mediation Process

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