

# APPENDIX K: Emergency Preparedness and Response

## Background:

This standalone appendix may be utilized by the state during emergency situations to request amendment to its approved waiver. It includes actions that states can take under the existing Section 1915(c) home and community-based waiver authority in order to respond to an emergency. Other activities may require the use of various other authorities such as the Section 1115 demonstrations or the Section 1135 authorities.<sup>i</sup> This appendix may be completed retroactively as needed by the state.

## Appendix K-1: General Information

### General Information:

**A. State:**

Oregon

**B. Waiver Title:**

Children's HCBS Waiver, Adults' HCBS Waiver, Medically Involved Children's Waiver (MICW), Medically Fragile (Hospital) Model, Behavioral (ICF/IDD) Model Waiver

**C. Control Number:**

- OR.0117.R06.03
- OR.0375.R04.02
- OR-0565.R02.04
- OR-40193.R04.02
- OR-40194.R04.02

**D. Type of Emergency (The state may check more than one box):**

<input checked="" type="radio"/>	<b>Pandemic or Epidemic</b>
<input type="radio"/>	<b>Natural Disaster</b>
<input type="radio"/>	<b>National Security Emergency</b>
<input type="radio"/>	<b>Environmental</b>
<input type="radio"/>	<b>Other (specify):</b>

**E. Brief Description of Emergency.**

*In no more than one paragraph each*, briefly describe the: 1) nature of emergency; 2) number of individuals affected and the state's mechanism to identify individuals at risk; 3) roles of state, local and other entities involved in approved waiver operations; and 4) expected changes needed to service delivery methods, if applicable. The state should provide this information for each emergency checked if those emergencies affect different geographic areas and require different changes to the waiver.

1) nature of emergency; The Oregon Health Authority has identified several counties in Oregon with presumptive positive cases of COVID-19. COVID-19 is spread from person-to-person through droplets in the air and on surfaces that people touch. This situation is unfolding quickly and the risks for people with intellectual and developmental disabilities are high. ODDS is committed to ensuring the health and safety of the people we serve.

2) number of individuals affected and the state's mechanism to identify individuals at risk; All participants in the Office of Developmental Disabilities Services 5 1915 (c) waivers are at risk of exposure or contracting COVID-19.

3) roles of state, local and other entities involved in approved waiver operations; and  
The roles of state, local, and other entities involved in approved waiver operations are defined in Appendix A in section A-1 and 2.

4) expected changes needed to service delivery methods, if applicable. The state should provide this information for each emergency checked if those emergencies affect different geographic areas and require different changes to the waiver.

See Below

**F. Proposed Effective Start Date: March 11, 2020 Anticipated End Date: March 11, 2021**

**G. Description of Transition Plan.**

Individuals will transition to pre-emergency service status as directed by ODDS.

**H. Geographic Areas Affected:**

Statewide

**I. Description of State Disaster Plan (if available) *Reference to external documents is acceptable:***

The Office of the Governor State of Oregon Executive Order NO. 20-03 can be found at the following web page -  
<https://drive.google.com/file/d/1AcKOePvhmBpuNuaBQq7yZ37E2Sog4tUe/view>

## **Appendix K-2: Temporary or Emergency-Specific Amendment to Approved Waiver**

### **Temporary or Emergency-Specific Amendment to Approved Waiver:**

*These are changes that, while directly related to the state's response to an emergency situation, require amendment to the approved waiver document. These changes are time limited and tied specifically to individuals impacted by the emergency. Permanent or long-ranging changes will need to be incorporated into the main appendices of the waiver, via an amendment request in the waiver management system (WMS) upon advice from CMS.*

**a. \_\_\_ Access and Eligibility:**

**i. \_\_\_ Temporarily increase the cost limits for entry into the waiver.**

[Provide explanation of changes and specify the temporary cost limit.]

**ii. \_\_\_ Temporarily modify additional targeting criteria.**

[Explanation of changes]

**b.  Services**

**i. \_\_\_ Temporarily modify service scope or coverage.**

[Complete Section A- Services to be Added/Modified During an Emergency.]

**ii. \_\_\_ Temporarily exceed service limitations (including limits on sets of services as described in Appendix C-4) or requirements for amount, duration, and prior authorization to address health and welfare issues presented by the emergency.**

[Explanation of changes]

**iii.  Temporarily add services to the waiver to address the emergency situation (for example, emergency counseling; heightened case management to address emergency needs; emergency medical supplies and equipment; individually directed goods and services; ancillary services to establish temporary residences for dislocated waiver enrollees; necessary technology; emergency evacuation transportation outside of the scope of non-emergency transportation or transportation already provided through the waiver).**

[Complete Section A-Services to be Added/Modified During an Emergency]

**iv. \_\_\_ Temporarily expand setting(s) where services may be provided (e.g. hotels, shelters, schools, churches) Note for respite services only, the state should indicate any facility-based settings and indicate whether room and board is included:**

[Explanation of modification, and advisement if room and board is included in the respite rate]:

**v. \_\_\_ Temporarily provide services in out of state settings (if not already permitted in the state's approved waiver). [Explanation of changes]**

**c. \_\_\_ Temporarily permit payment for services rendered by family caregivers or legally responsible individuals if not already permitted under the waiver. Indicate the services to which this will apply and the safeguards to ensure that individuals receive necessary services as**

authorized in the plan of care, and the procedures that are used to ensure that payments are made for services rendered.

**d. X Temporarily modify provider qualifications (for example, expand provider pool, temporarily modify or suspend licensure and certification requirements).**

**i. X Temporarily modify provider qualifications.**

[Provide explanation of changes, list each service affected, list the provider type, and the changes in provider qualifications.]

Allow Personal Support Workers and Agency Employment Specialists to begin providing Individual Employment Support - Job Coaching services after a preliminary fitness determination (verified that they are not on the federal exclusionary list), but before a final determination, as directed by ODDS.

Allow Employment Specialists to begin providing Employment Path and Small Group Employment Support after a preliminary fitness determination (verified that they are not on the federal exclusionary list), but before a final determination, as directed by ODDS.

**ii. X Temporarily modify provider types.**

[Provide explanation of changes, list each service affected, and the changes in the provider type for each service].

Allow assessors, abuse investigators, eligibility specialists, Licensors and certifiers employed at Case Management Entities (CMEs) (excluding state employees) to conduct the case management service of information and referral and monitoring activities for all individuals as directed by ODDS.

**iii. X Temporarily modify licensure or other requirements for settings where waiver services are furnished.**

[Provide explanation of changes, description of facilities to be utilized and list each service provided in each facility utilized.]

Allow quarterly Employment Path site visits to be completed by phone, email, or other Communication methods in lieu of in person, as directed by ODDS.

**e. X Temporarily modify processes for level of care evaluations or re-evaluations (within regulatory requirements). [Describe]**

Allow level of care re-evaluations timeline requirements to be extended for up to one year past the due date of the re-evaluation as directed by ODDS.

Allow level of care evaluations or re-evaluations to be completed by Communication methods in lieu of face to face, such as telehealth, in accordance with HIPAA, as directed by ODDS.

**f. X Temporarily increase payment rates**

[Provide an explanation for the increase. List the provider types, rates by service, and specify whether this change is based on a rate development method that is different from the current approved waiver (and if different, specify and explain the rate development method). If the rate varies by provider, list the rate by service and by provider].

Increase all Direct Nursing Service payment rates to the highest currently approved rate of \$14.93/quarter hour to help maintain nursing pool capacity as directed by ODDS.

**g. X Temporarily modify person-centered service plan development process and individual(s) responsible for person-centered service plan development, including qualifications.**

[Describe any modifications including qualifications of individuals responsible for service plan development, and address Participant Safeguards. Also include strategies to ensure that services are received as authorized.]

Allow ISP development completion by Communication methods other than face to face such as telehealth, in accordance with HIPAA, as directed by ODDS.

ISPs that are expiring require a case management contact to the individual to verify with the individual or representative that the current assessment and services, including providers, remain acceptable and approvable for the upcoming year, allowing for receipt of the signed form up to 60 days after start date of the ISP, as directed by ODDS.

ISPs/revisions will be updated within 60 days of service needs identified to mitigate harm or risk directly related to COVID-19 impacts as directed by ODDS.

To comply with 42 CFR 540(b)(9), Case Managers may obtain verbal approval and document this approval in the case records as directed by ODDS. Please note that Oregon has requested through its 1135 waiver submission the flexibility to allow for verbal signatures. CMS has not yet responded to that particular request for flexibility.

**h.    Temporarily modify incident reporting requirements, medication management or other participant safeguards to ensure individual health and welfare, and to account for emergency circumstances.**

[Explanation of changes]

**i. X Temporarily allow for payment for services for the purpose of supporting waiver participants in an acute care hospital or short-term institutional stay when necessary supports (including communication and intensive personal care) are not available in that setting, or when the individual requires those services for communication and behavioral stabilization, and such services are not covered in such settings.**

[Specify the services.]

Waive requirements prohibiting the provision of home and community-based services to eligible individuals who are being served in an inpatient setting in order to enable direct care workers or other home and community-based providers to accompany individuals to any setting necessary [42 CFR 441.530(b)(1)(ii)].

(a) these services will be focused on providing personal, behavioral and communication supports not otherwise provided in an acute care hospital; and (b) the service will only be delivered in the alternate setting for up to 30 days.

**j. X Temporarily include retainer payments to address emergency related issues.**

[Describe the circumstances under which such payments are authorized and applicable limits on their duration. Retainer payments are available for habilitation and personal care only.]

Retainer payments for services that include Personal Care - including agency provided Employment Path Services, Supported Employment - Individual Employment Support (job Coaching), Supported Employment - Small Group Employment Support and Discovery/Career Exploration Services shall be provided in response to the impact of the COVID-19 pandemic and shall not exceed the total amount that the provider would have received had services been provided as expected. The retainer time limit may not exceed the lesser of 30 consecutive days or the number of days for which the State authorizes a payment for “bedhold” in nursing facilities.

**k. \_\_\_ Temporarily institute or expand opportunities for self-direction.**

[Provide an overview and any expansion of self-direction opportunities including a list of services that may be self-directed and an overview of participant safeguards]

**l. 1. \_\_\_ Increase Factor C.**

[Explain the reason for the increase and list the current approved Factor C as well as the proposed revised Factor C]

**m. \_\_\_ Other Changes Necessary [For example, any changes to billing processes, use of contracted entities or any other changes needed by the State to address imminent needs of individuals in the waiver program]. [Explanation of changes]**

ODDS is requesting on-going payments to providers to maintain critical capacity during state-mandated closures related to COVID-19. These payments will be necessary for the duration of closures to ensure that providers maintain capacity and are to re-open and resume services once the state determines that risk of COVID-19 no longer necessitates closures of these programs.

This request includes agency providers of Employment Path, Supported Employment - Small Group Employment Support, Discovery, and Individual Employment Supports – Job Coaching and Discovery/Career Exploration Services

## Contact Person(s)

A. The Medicaid agency representative with whom CMS should communicate regarding the request:

<b>First Name:</b>	Dana
<b>Last Name</b>	Hittle
<b>Title:</b>	Deputy Medicaid Director
<b>Agency:</b>	Oregon Health Authority
<b>Address 1:</b>	500 Summer St. NE
<b>Address 2:</b>	
<b>City</b>	Salem
<b>State</b>	Oregon
<b>Zip Code</b>	97301
<b>Telephone:</b>	(503) 945-6491
<b>E-mail</b>	dana.hittle@state.or.us
<b>Fax Number</b>	(503) 945-5872

B. If applicable, the State operating agency representative with whom CMS should communicate regarding the waiver is:

<b>First Name:</b>	Lilia
<b>Last Name</b>	Teninty
<b>Title:</b>	Director - Office of Developmental Disabilities Services
<b>Agency:</b>	Oregon Department of Human Services
<b>Address 1:</b>	500 Summer St. NE
<b>Address 2:</b>	
<b>City</b>	Salem
<b>State</b>	Oregon
<b>Zip Code</b>	97301
<b>Telephone:</b>	(503) 945-6918
<b>E-mail</b>	LILIA.TENINTY@state.or.us
<b>Fax Number</b>	(503) 373-7823

## 8. Authorizing Signature

Signature: \_\_\_\_\_

**Date:** \_\_\_\_\_

State Medicaid Director or Designee

<b>First Name:</b>	Lori
<b>Last Name</b>	Coyner
<b>Title:</b>	State Medicaid Director
<b>Agency:</b>	Oregon Health Authority
<b>Address 1:</b>	500 Summer St NE
<b>Address 2:</b>	

<b>City</b>	Salem
<b>State</b>	Oregon
<b>Zip Code</b>	97301
<b>Telephone:</b>	(503) 947-2340
<b>E-mail</b>	lori.a.coyner@dhsosha.state.or.us
<b>Fax Number</b>	(503) 373-7327

## Section A---Services to be Added/Modified During an Emergency

Complete for each service added during a time of emergency. For services in the approved waiver which the state is temporarily modifying, enter the entire service definition and highlight the change. State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Specification				
Service Title:	Family Caregiver Stipend available in the #0117 Children's HCBS Waiver, #0565 Medically Involved Children's Waiver (MICW), #40193 Medically Fragile (Hospital) Model, #40194 Behavioral (ICF/IDD) Model Waiver			
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>				
Service Definition (Scope):				
<p>The Family Caregiver Stipend service is a temporary monthly payment to the legally responsible parent, relative or legal guardian of a child under 18 years of age when the child lives with the legally responsible parent, relative or legal guardian in the family home.</p> <p>This Stipend is intended to sustain and enhance natural supports when:</p> <ul style="list-style-type: none"> <li>A child demonstrates a level of disability-related need based on criteria set by ODDS, and</li> <li>A child's attendant care services through the 1915 (k) are unavailable due to COVID-19 pandemic</li> </ul> <p>The Family Caregiver Stipend is not intended to supplant natural family caregiving supports by providing a payment for family caregiver supports that were already being provided prior to COVID-19, and that are expected to continue at the same level.</p>				
Specify applicable (if any) limits on the amount, frequency, or duration of this service:				
<p>The Family Caregiver Stipend is not available to children that continue to receive attendant care services through the 1915 (k).</p> <p>The Family Caregiver Stipend is only available in lieu of 1915(k) attendant care services and is limited to the duration of the state of emergency in Oregon due to the COVID-19 pandemic.</p>				
Provider Specifications				
Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input type="checkbox"/>	Agency. List the types of agencies:
	N/A			
Specify whether the service may be provided by <i>(check each that applies):</i>	<input checked="" type="checkbox"/>	Legally Responsible Person	<input checked="" type="checkbox"/>	Relative/Legal Guardian
<b>Provider Qualifications</b> <i>(provide the following information for each type of provider):</i>				
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>	

N/A			

**Verification of Provider Qualifications**

Provider Type:	Entity Responsible for Verification:	Frequency of Verification
N/A		

**Service Delivery Method**

<b>Service Delivery Method</b> <i>(check each that applies):</i>	<input type="checkbox"/>	Participant-directed as specified in Appendix E	<input type="checkbox"/>	Provider managed
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**Service Specification**

Service Title: \_\_\_\_\_

*Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:*

Service Definition (Scope): \_\_\_\_\_

\_\_\_\_\_

Specify applicable (if any) limits on the amount, frequency, or duration of this service: \_\_\_\_\_

\_\_\_\_\_

**Provider Specifications**

Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input type="checkbox"/>	Agency. List the types of agencies:

Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian
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**Provider Qualifications** *(provide the following information for each type of provider):*

Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>

**Verification of Provider Qualifications**

Provider Type:	Entity Responsible for Verification:	Frequency of Verification

**Service Delivery Method**

<b>Service Delivery Method</b> <i>(check each that applies):</i>	<input type="checkbox"/>	Participant-directed as specified in Appendix E	<input type="checkbox"/>	Provider managed




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<sup>i</sup> Numerous changes that the state may want to make necessitate authority outside of the scope of section 1915(c) authority. States interested in changes to administrative claiming or changes that require section 1115 or section 1135 authority should engage CMS in a discussion as soon as possible. Some examples may include: (a) changes to administrative activities, such as the establishment of a hotline; (b) suspension of general Medicaid rules that are not addressed under section 1915(c) such as payment rules or eligibility rules or suspension of provisions of section 1902(a) to which 1915(c) is typically bound.