

DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
7500 Security Boulevard, Mail Stop S2-14-26
Baltimore, Maryland 21244-1850



Disabled & Elderly Health Programs Group

April 10, 2019

Maureen Corcoran
Director
Ohio Department of Medicaid
50 West Town Street, 4th Floor
Columbus, OH 43215

RE: Heightened Scrutiny Review of:

- Consumer Support Services #1, 2414 Sunset Ave, Clark County, OH
- Consumer Support Services #2, 2416 Sunset Ave, Clark County, OH

Dear Ms. Corcoran:

This letter is in reference to settings submitted to the Centers for Medicare & Medicaid Services (CMS) for a heightened scrutiny review, in accordance with the federal home and community-based services (HCBS) regulations found at 42 CFR Section 441.301(c)(4)(5) and Section 441.710 (a)(1)(2). Ohio submitted two 4-person group homes located in a cul-de-sac on the grounds of a publicly operated Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) for heightened scrutiny review because the settings are located on the grounds of or adjacent to a public institution. Evidentiary packages were submitted by the state of Ohio to CMS for heightened scrutiny review on October 27, 2017.

CMS provided the state its initial "Summary of Findings" on June 8, 2018. The state provided its response to CMS on July 6, 2018. CMS appreciates the efforts of the state to provide comprehensive evidentiary packages regarding each setting's characteristics. Based on the information contained in the evidentiary packages specific to these settings, CMS concluded that the information submitted by the state for the heightened scrutiny review is sufficient to demonstrate that the settings do not have the qualities of an institution and have met all of the HCBS settings criteria. We have attached a Summary of Findings for each setting, which outlines the initial questions CMS raised and the state's responses that led to CMS' final determination.

CMS would also like to thank the state of Ohio for participating in the heightened scrutiny review pilot. Your participation in this review process has provided helpful and invaluable feedback, and has helped CMS to identify a clear and concise way to provide the states feedback during the review process.

Thank you for your continued commitment to the state of Ohio's successful delivery of Medicaid-funded home and community-based services.

Sincerely,

A handwritten signature in blue ink, appearing to read "Ralph F. Lollar", is positioned above the typed name of the signatory.

Ralph F. Lollar, Director
Division of Long-Term Services and Supports

Heightened Scrutiny Summary of Findings

Setting Information

Name of Setting: Consumer Support Services #1

Address: 2414 Sunset Ave, Clark County, OH

Type of Setting: Residential 4-person Group Home

HS Category: Settings are on the grounds of a publicly operated ICF/IID

Date Submitted: October 2017

Brief Description of Setting: One 4-person group home located on the cul-de-sac on the grounds of a publicly operated ICF/IID.

Support Submitted by the State to Demonstrate Setting's Progress in Overcoming the Institutional Presumption

The state confirmed that there is no interconnectedness (i.e. administrative functions, personnel) between the publicly-operated ICF/IID and the setting in question.

Each individual has his/her own bedroom, which is decorated according to the individual's unique preferences.

There are two bathrooms (each one shared by 2 women), also decorated according to the tastes of the women sharing each bathroom.
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The home does not share management or staff with a second home in the cul-de-sac that is operated by the same provider. A third group home is located in the cul-de-sac, but is operated by a different provider.

The personal interests of each individual living in the setting are reflected in their daily routines.
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Transportation into the community is offered by the provider. The majority of the residents also have family members in the community who help facilitate transportation.

The provider has recently restructured its service provision model by adding a home manager to each setting location (rather than being assigned regionally) to allow for more timely responses to supporting external activities, schedules and services based on each person's unique needs and preferences to assure they are engaging in the broader community to the degree outlined in each individual's person-centered service plan.
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State compiled the following evidence to demonstrate the setting is integrated in and supports full access into the community by the individuals: on-site evaluation tool (including observations of interactions, and interviews with staff and guardians); photos of the interior of the setting and surrounding area; statements of support from legal guardians, local businesses and members of the community; staff training records that incorporate reviews of individual rights, person-centered planning, community integration and promoting individual choice.
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Initial Determination

Evidentiary Package requires additional information before a final decision can be made.
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Additional Information Requested To Confirm Setting Is Compliant with the Federal HCBS Settings Criteria and has Overcome any Institutional Presumption:

CMS requests the State of Ohio provide the following:

Additional Information Requested To Confirm Setting Is Compliant with the Federal HCBS Settings Criteria and has Overcome any Institutional Presumption:

- Attestation from the state through the review of person-centered service plans and/or interviews with individuals residing in the setting that the setting is selected by the individual from among a variety of setting options including non-disability specific settings [42 CFR 441.301(c)(4)(ii)].

Ohio Response:

In Ohio, presenting choice of service setting is the responsibility of the county board of developmental disabilities through the person-centered planning process. It is not the responsibility of the agency provider, Consumer Support Services. The Ohio Department of Developmental Disabilities monitors compliance with this requirement through the county board accreditation process outlined in Ohio Administrative Code 5123:2-1-02 (P). Statewide compliance in this area is reviewed quarterly with the Ohio Department of Medicaid during regularly scheduled reviews of all waiver-related performance measures.

The state confirmed through guardians of the individuals residing in the home that this setting was chosen from among other setting options provided.

CMS agrees that the state response is sufficient.

- Confirmation through a review of person-centered service plans and/or interviews with the individuals that the individuals had a choice in selecting their non-residential service providers [42 CFR 441.301(c)(4)(v)], and that the individuals have opportunities to seek employment and work in competitive integrated settings [42CFR 441.301(c)(4)(i)].

Ohio Response:

In Ohio, presenting choice of service setting is the responsibility of the county board of developmental disabilities through the person-centered planning process. It is not the responsibility of the agency provider, Consumer Support Services. The Ohio Department of Developmental Disabilities monitors compliance with this requirement through the county board accreditation process outlined in Ohio Administrative Code 5123:2-1-02 (P). Statewide compliance in this area is reviewed quarterly with the Ohio Department of Medicaid during regularly scheduled reviews of all waiver-related performance measures.

The state confirmed during the on-site review and information provided by guardians that individuals were offered the opportunity to seek employment and work in competitive integrated settings. They have currently chosen not to do so, but will continue to have the option presented as part of the person-centered planning process. The state also confirmed through interviews that people were aware that the service and support administrator was available to assist with selecting from among any other qualified provider if a change in setting/provider was desired.

CMS agrees that the state response is sufficient.

- Confirmation through both review of the provider policies as well as via

Additional Information Requested To Confirm Setting Is Compliant with the Federal HCBS Settings Criteria and has Overcome any Institutional Presumption:

observational data collected by the state during the onsite visit that:

- Individuals' units have lockable entrance doors, with appropriate staff having keys to doors [42 CFR 441.301(c)(4)(vi)(B)(1)].
- Individuals have access to food at any time [42 CFR 441.301(c)(4)(vi)(C)] and are able to have visitors of their choosing at any time [42 CFR 441.301(c)(4)(vi)(D)] .

Ohio Response:

The state confirmed during the on-site review and through interviews with staff that the home has lockable entrance doors with appropriate staff having keys and that individuals have access to food and visitors at any time.

CMS agrees that the state response is sufficient.

- Verification through the person-centered plans and provider records that public transportation options were offered to all individuals, and clarification that all individuals either declined public transportation options or have modifications outlining why public transportation is not a suitable option [42 CFR 441.301(c)(4)(i) & 42 CFR 441.301(c)(4)(vi)(C)].

Ohio Response:

The state confirmed during the onsite review, as well as through quarterly reports provided by the agency provider that individuals were given the option of using public transportation. At this time, the individuals prefer to continue to receive transportation services through the provider agency and natural supports, in lieu of using public transportation.

CMS agrees that the state response is sufficient.

Heightened Scrutiny Summary of Findings

Setting Information

Name of Setting: Consumer Support Services #2

Address: 2416 Sunset Ave, Clark County, OH

Type of Setting: Residential 4-person Group Home

HS Category: Settings are on the grounds of a publicly operated ICF/IID

Date Submitted: October 2017

Brief Description of Setting: One 4-person group home located on the cul-de-sac on the grounds of a publicly operated ICF/IID.

<p>Support Submitted by the State to Demonstrate Setting's Progress in Overcoming the Institutional Presumption</p>
<p>The state confirmed that there is no interconnectedness (i.e. administrative functions, personnel) between the publicly-operated ICF/IID and the setting in question.</p>
<p>Each individual has his/her own bedroom, which is decorated according to the individual's unique preferences.</p>
<p>There are two bathrooms (one shared by 2 women; the other shared by 2 men), also decorated according to the tastes of the individuals sharing each bathroom.</p>
<p>The home does not share management or staff with a second home in the cul-de-sac that is operated by the same provider. A third group home is located in the cul-de-sac, but is operated by a different provider.</p>
<p>The personal interests of each individual living in the setting are reflected in their daily routines.</p>
<p>Transportation into the community is offered by the provider. The residents also have family members in the community who help facilitate transportation.</p>
<p>The provider has recently restructured its service provision model by adding a home manager to each setting location (rather than being assigned regionally) to allow for more timely responses to supporting external activities, schedules and services based on each person's unique needs and preferences to assure they are engaging in the broader community to the degree outlined in each individual's person-centered service plan.</p>
<p>State compiled the following evidence to demonstrate the setting is integrated in and supports full access into the community by the individuals: on-site evaluation tool (including observations of interactions, and interviews with staff and guardians); photos of the interior of the setting and surrounding area; statements of support from legal guardians, local businesses and members of the community; staff training records that incorporate reviews of individual rights, person-centered planning, community integration and promoting individual choice.</p>

<p>Initial Determination</p>
<p>Evidentiary Package requires additional information before a final decision can be made.</p>

<p>Additional Information Requested To Confirm Setting Is Compliant with the Federal HCBS Settings Criteria and has Overcome any Institutional Presumption:</p>
<p>CMS requests the State of Ohio provide the following:</p>

Additional Information Requested To Confirm Setting Is Compliant with the Federal HCBS Settings Criteria and has Overcome any Institutional Presumption:

- Attestation from the state through the review of person-centered service plans and/or interviews with individuals residing in the setting that the setting is selected by the individual from among a variety of setting options including non-disability specific settings [42 CFR 441.301(c)(4)(ii)].

Ohio Response:

In Ohio, presenting choice of service setting is the responsibility of the county board of developmental disabilities through the person-centered planning process. It is not the responsibility of the agency provider, Consumer Support Services. The Ohio Department of Developmental Disabilities monitors compliance with this requirement through the county board accreditation process outlined in Ohio Administrative Code 5123:2-1-02 (P). Statewide compliance in this area is reviewed quarterly with the Ohio Department of Medicaid during regularly scheduled reviews of all waiver-related performance measures.

CMS agrees that the state response is sufficient.

- Confirmation through a review of person-centered service plans and/or interviews with the individuals that the individuals had a choice in selecting their non-residential service providers [42 CFR 441.301(c)(4)(v)], and that the individuals have opportunities to seek employment and work in competitive integrated settings [42CFR 441.301(c)(4)(i)].

Ohio Response:

In Ohio, presenting choice of service setting is the responsibility of the county board of developmental disabilities through the person-centered planning process. It is not the responsibility of the agency provider, Consumer Support Services. The Ohio Department of Developmental Disabilities monitors compliance with this requirement through the county board accreditation process outlined in Ohio Administrative Code 5123:2-1-02 (P). Statewide compliance in this area is reviewed quarterly with the Ohio Department of Medicaid during regularly scheduled reviews of all waiver-related performance measures.

It was clear, however, through guardian input, that each individual was afforded the option to seek employment and work in competitive integrated settings. At this time, each of the individuals have chosen not to seek employment.

CMS agrees that the state response is sufficient.

- Confirmation through both review of the provider policies as well as via observational data collected by the state during the onsite visit that:
 - Individuals' units have lockable entrance doors, with appropriate staff having keys to doors [42 CFR 441.301(c)(4)(vi)(B)(1)].
 - Individuals have access to food at any time [42 CFR 441.301(c)(4)(vi)(C)] and are able to have visitors of their choosing at any time [42 CFR 441.301(c)(4)(vi)(D)] .

Additional Information Requested To Confirm Setting Is Compliant with the Federal HCBS Settings Criteria and has Overcome any Institutional Presumption:

Ohio Response:

The state confirmed during the on-site review and through interviews with staff that the home has lockable entrance doors. Staff are available in the home 24 hours/day. As a result, staff are not assigned keys to the home. The state also confirmed through the on-site review that individuals have access to food and visitors at any time.

CMS agrees that the state response is sufficient.

- Verification through the person-centered plans and provider records that public transportation options were offered to all individuals, and clarification that all individuals either declined public transportation options or have modifications outlining why public transportation is not a suitable option [42 CFR 441.301(c)(4)(i) & 42 CFR 441.301(c)(4)(vi)(C)].

Ohio Response:

The state confirmed during the onsite review, as well as through quarterly reports provided by the agency provider that individuals were given the option of using public transportation. At this time, the individuals prefer to continue to receive transportation services through the provider agency and natural supports, in lieu of using public transportation.

CMS agrees that the state response is sufficient.