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| **DATE CREATED** | | | **CREATED BY** | | | | | |
| 4/9/2021 | | | Brandy Martin | | | | | |
|  |  | |  |  |  |  |  |  |
| **VERSION NO.** | | | **PROCESS OWNER** | | | | | |
| DD\_WAIVER RETN SLOT\_VER\_001 | | | Ken Haines, Regional Supports Manager | | | | | |
|  |  | |  |  |  |  |  |  |
| **DATE OF LAST REVISION** | | | **LAST UPDATED BY** | | | | | |
| 12/22/2021 | | | Chandelle Pullen | | | | | |
|  | | |  | | | | | |
| **INSTRUCTIONS**   1. **‘I. INTRODUCTION’** – This section is utilized to provide detailed information about the document and the contents that are contained within the document. Information referenced in this document will provide details needed to understand the documented process and its deliverables.    1. **Purpose:** Provide the purpose of the document to include specific detail about what is being addressed with the development of this process    2. **Scope:** This section should outline the deliverables and/or objectives of this process to provide a method to measure success    3. **Document Management:** Describe how the document will be tracked, stored, and distributed.    4. **Compliance:** Provide all DOJ Provision and Compliance ID #s that are relevant or will be addressed by implementing the process on this document including language.    5. **Roles & Responsibilities:** Identify the role of all individuals involved in the process and define the responsibilities of each individual. 2. **‘II. CHANGE CONTROL’** – This section will provide a description of the systematic approach to managing changes made to the process as well as ensuring that no unnecessary change or revisions are made that disrupt services or compliance.    1. **Process Description** – Provide a detailed description about the process and what the process will address (i.e. developed as a monitoring tool, lower budget expenses, etc.)    2. **Input/Trigger** – A process input/trigger describes what initiates the start of the process. Provide detailed information about what input is needed to start the process (i.e. intake process is initiated, a new service is begun, payment is received, etc.). The input/trigger should provide an explanation for the necessary tasks/steps identified in the process.    3. **Outputs/Measures of Success** – A process output/measure of success describes the expected end product of a process (i.e. report, improved performance metrics, etc.). Provide a statement that describes what the expected outputs/measure of success of the process should be. The description of this output should allow for the development or tracking of measures of success.    4. **Boundaries** – Process boundaries identify where the process starts and when it ends, it also identifies what is included and what is not included in the process. Boundaries also identify areas of intersection with other processes and activities. Provide any identified boundaries (i.e. initiation, closure, reporting cadence, frequency of process, etc.) in this section. Boundaries could include the intersection of where the process ends and the reporting process begins that includes the findings of the process.    5. **Points of Control** – Points of Control within a process identifies any action or event that could “block” the implementation of the process. Provide any foreseen obstacles that may impact successfully implementing the documented process    6. **Version Control** – Version Control will be utilized to track changes and guide naming conventions of process documents. Documents should follow the below nomenclature:   **Program Area\_Purpose\_Ver\_Version# (DQV\_DOJ DQ Assessment\_Ver\_001)**   1. **‘III. Reporting’ –** List of reports that are generated utilizing the data from this process 2. **‘IV. Process’** – Provide detailed step-by-step instructions for implementation/execution of process. 3. **‘V. DOJ Documentation’** – Data set measure development form information for DOJ reporting documentation    1. Numerator – describe data being calculated    2. Denominator – describe data being calculated    3. DQV Recommendation – Language from DQV that provides guidance for actions needed    4. Mitigation Timeline – set time period in which actions will be taken to address the DQV recommendation    5. Baseline – The most recent data available 4. **‘VI. Verification’** – Provide all verification or validation process that needs to take place to ensure that the process is valid. 5. **‘VII. Continuous Quality Improvement (CQI)’** – Provide a detailed step-by-step process describing what will be done to monitor and improve process as time progresses. 6. ‘**VIII. Glossary of Terms’** – Contains definitions of terms used to describe process activities and requirements | | | | | | | | |
| **I. INTRODUCTION** |  | |  |  |  |  |  |  |
| **PURPOSE** | To explain how the RSS reviews the Retain Slot Form. | | | | | | | |
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| **SCOPE** |  | | | | | | | |
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| **DOCUMENT MANAGEMENT** | All process documents will need to utilize approved process templates provided by DBHDS. Process documents will be saved as .pdf documents before distributed. All process documents will be stored in a centralized document library. Any revisions or updates to the document will need to be approved and documented for effective revision and/or document management. Naming conventions for versioning will be strictly enforced. | | | | | | | |
| **PROVISION** |  | | | | | | | |
| **COMPLIANCE INDICATORS** |  |  | | | | | | |
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| **ROLES AND RESPONSIBILITIES** | | |  |  |  |  |  |  |
| **ROLE** | **RESPONSIBILITY** | | | | | | | |
| Support Coordinator | Complete and submit the retain slot form in WaMS and respond to requests for further information | | | | | | | |
| Regional Supports Specialist | Review the forms submitted, solicit additional information if needed, approve appropriate requests and deny other requests | | | | | | | |

**II. CHANGE CONTROL**

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| **PROCESS DESCRIPTION** |  |
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| **INPUT/TRIGGER** |  |
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| **OUTPUTS/MEASURE OF SUCCESS** |  |
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| **BOUNDARIES** |  |
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| **POINTS OF CONTROL** |  |
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| --- | --- | --- | --- |
| **VERSION** | **DATE** | **DESCRIPTION OF CHANGE IMPLEMENTED** | **COMPLETED BY** |
|  |  | Initial Documentation | Brandy Martin |
| DD\_WAIVER RETN SLOT\_VER\_001 | 12/22/2021 | Transfer to new process document | Chandelle Pullen |
| DD\_WAIVER RETN  SLOT VER 002 | 7/2/2022 | Added additional information for clarity | Kenneth Haines |
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**III. REPORTING**

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| **REPORTING TOOL/MECHANISMS** | | | |
| **Report Name** |  | **Data Source** |  |
| **Report Name** |  | **Data Source** |  |
| **Report Name** |  | **Data Source** |  |

**IV. PROCESS**

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| **OVERVIEW** |  |  |  |  | |  |  |  |
| **STEP#** | **PROCESS STEPS** | | | | **SOURCE OF RECORD** | | **APPROVAL REQUIRED** | **APPROVER** |
| **1**  **(Hold)** | **Hold Status:** There are several reasons to place an individual in Hold status including: ICF/IID Admission, Incarceration, hospitalization/Rehab hospital, Loss of Medicaid Eligibility and No waiver services for 30 uninterrupted days. Hold status is intended to be temporary. There needs to be an active plan for the individual to return to waiver services.   1. Identify enrolled individuals that have not received services for 30 days or 150 days for individuals who are new or not yet initiated. Individuals are identified by SC through regular visits and communications with providers and individuals and review of written reports of providers. 2. Move identified individuals to ‘Hold’ by changing the enrollment status in WaMS. 3. Complete a Retain Slot form 4. Submit to Regional Supports Specialist 5. Repeat steps 1-4 every 30 days for individuals that remain with no services. | | | |  | |  |  |
| **Performed by: Support Coordinator** | | | |
| **2**  **(Hold)** | Regional Supports Specialist (RSS) should be helping identify barriers and making suggestions and referrals to help individuals return to services.   1. Locate submitted Retain Slot Form utilizing one of methods listed here:    1. When signed into in WaMS, the RSS clicks on the link found in the RSS email, donotreply@wamsvirginia.org “Retain Slot Form has been submitted to you. Please review the form.” The provided link in the email will direct the RSS to the form requiring attention. Next, in the Retain Slot Form Questionnaire section – select Edit to get to the Retain Slot Form to review.    2. Go to the My Lists tab in WaMS. Then select Retain Slot Form. On the Status text box, change to: Awaiting RSS Review. Go to the CSB text box and change to the board desired to view. Then press the Filter button to display results. Action: select “Summary” and then under the section, Retain Slot Form Questionnaire – select Edit to get to the retain slot form to review.    3. Select Alerts tab in WaMS. The RSS can sort by dates, individual’s name or alert description “Retain Slot Form has been submitted to you. Please review the form.” Select “Go” (highlighted). Next, in the Retain Slot Form Questionnaire section – select Edit to get to the retain slot form to review. | | | |  | |  |  |
| **Performed by: Regional Supports Specialist** | | | |
| **3**  **(Approval)** | 1. Review Retain Slot Form for approval    1. Verify Date of Active Enrollment Start in the Service Section ( Do not approve Retain Slot requests for persons still in projected enrollment status)    2. Review the ‘Reason” section for explanation and actions taken. Notes captured here from Support Coordinator.    3. Approve or reject request:       1. **Approved:** The slot may remain with current individual for another 30 days.       2. **Denied:** The request to retain the slot for this individual is denied.       3. **Seek more information** 2. Write comment in text box explaining decision. 3. Electronically sign and date form. 4. Click ‘Save’ 5. Once form is saved, click ‘Back to WaMS’ button and click ‘Submit (Approved or Denied)’ or ‘Send to CSB (More Information needed’ button 6. Send notification of approval status to Support Coordinator in WaMS with appeals information 7. Release slot in “HOLD” status | | | |  | |  |  |
| **Performed by: Regional Support Specialist** | | | |
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**V. DOJ DOCUMENTATION**

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| **Numerator** |  |
| **Denominator** |  |

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| **DQV Recommendation** |  |
| **Mitigation Timeline** |  |
| **Baseline** |  |

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| **VI. VERIFICATION** |  |  |  |  |  |  |
| **VERIFICATION, VALIDATION, AND TESTING PROCESS** | | | | | | |
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| **VII. CONTINUOUS QUALITY IMPROVEMENT (CQI)** | | | | | |  |  |  |

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| **CQI PROCESS** |
| |  |  |  | | --- | --- | --- | | **STEP#** | **PROCESS STEPS** | **PERFORMED BY** | | # | (Describe the step required to perform action) | (Identify the role/job title of individual performing this task) | | 1 | The RSS receives data reports from WaMS on a monthly basis which identify people who are not receiving services. The RSS then follows up with the CSB and prompts them to submit a Retain slot form where that is indicated. | RSS | | 2 | The Regional Supports Manager provides guidance for decision making and periodically reviews reports to ensure that RSSs are regularly completing retain slots and providing appropriate guidance and assistance to CSBs. | RSM | | 3 |  |  | |

**VIII. GLOSSARY OF TERMS**

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| **Term** | | **Definition** |
| **WaMS** | Waiver Management System, an electronic system for managing slots, the DD waivers waiting list, and service authorization | |
| **RSS** | Regional Support Specialist, a DBHDS staff member | |
| **CSB** | Community Services Board | |
| **SC** | Support Coordinator | |
| **RSM** | Regional Supports Manager | |