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| **DATE CREATED** | **CREATED BY** |
| 4/1/2021 | Stephanie Mote |
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| **VERSION NO.** | **PROCESS OWNER** |
| DD\_WAIVER RSRV SLOTS\_VER\_001 | Kenneth Haines, Regional Supports Manager |
|  |  |  |  |  |  |  |  |
| **DATE OF LAST REVISION** | **LAST UPDATED BY** |
| 12/21/2021 | 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
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| **I. INTRODUCTION** |  |  |  |  |  |  |  |
| **PURPOSE** | To establish guidance concerning reserve slot request process  |
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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** |  | Reserve slots may be used for transitioning an individual who, due to documented changes in his support needs, requires a move from the DD waiver in which he is presently enrolled into another of the DD waivers to access necessary services. a. An individual who needs to transition between the DD waivers shall not be placed on the DD waiting list. b. A documented change in an individual's assessed needs, which requires a service or services that is or are not available in the DD waiver in which the individual is presently enrolled, shall exist for an individual to be considered for a reserve slot. |
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| **ROLES AND RESPONSIBILITIES** |  |  |  |  |  |  |
| **ROLE**  | **RESPONSIBILITY** |
| CSB - Service Coordinator | Complete reserve slot request form and respond to requests for additional information |
| DBHDS - Data Coordinator | Monitor reserve slot email, switch slots in WaMS when they are approved |
| DBHDS - Regional Supports Specialist | Review and evaluate requests, approving appropriate requests and denying others. |
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**II. CHANGE CONTROL**

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| **PROCESS DESCRIPTION** | A verification process of which individuals are identified qualifications for meeting requirements to receive placement. |
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| **INPUT/TRIGGER** | Reserve slots requests are typically initiated by the individual or the family to the SC. The Community Service Board SC reviews the request to determine if the need meets the regulatory standard. If the CSB SC does not believe the request meets the regulatory standard, he/she may deny the request and must issue appeal rights to the individual. |
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| **OUTPUTS/MEASURE OF SUCCESS** | Individuals needing placement on reserve slot list. |
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| **BOUNDARIES** |  |
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| **POINTS OF CONTROL** |  |
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| **VERSION** | **DATE** | **DESCRIPTION OF CHANGE IMPLEMENTED** | **COMPLETED BY** |
|  | 4/9/2021 | Initial Documentation | Stephanie Mote |
| DD\_WAIVER RSRV SLOTS\_VER\_001 | 12/21/2021 | Transfer to new document template | Chandelle Pullen |
| DD\_WAIVER RSRV SLOTS VER 002 | 7/5/2022 | Provide additional information for clarity | Kenneth Haines |
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**III. REPORTING**

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| **REPORTING TOOL/MECHANISMS** |
| **Report Name** | 2021 Reserve Slot Tracking  | **Data Source** | COMMON/Slots/Reserve Slot  |
| **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****(Initiation)** | **CSB Service Coordinator**1. Determine if individual meets criteria for a reserve slot: *Reserve slots may be used for transitioning an individual who, due to (i) a documented change in his assessed support needs, which requires a service that is not available in the DD Waiver in which the individual is presently enrolled or (ii) a preference for supports found in a waiver with a less comprehensive array of supports, requires and requests a move from the DD Waiver in which (s)he is presently enrolled into another of the DD Waivers to access necessary services.* *[12VAC30-122-90]*
2. If individual meets criteria, complete Reserve Slot Request Form
3. Submit to DBHDS Reserve Slot Requests mailbox: reserve\_slot\_request@dbhds.virginia.gov Mailbox is monitored by DBHDS Data Coordinator

**DBHDS Data Coordinator**1. Update reserve request log with data submitted by Service Coordinator
2. Track status of slot requests
 | Reserve Slot Request Form |  |  |
| **Performed by: CSB Service Coordinator; DBHDS Data Coordinator** |
| **2****(Initiation)** | Regional Supports Specialist1. Conduct a review of submitted request.

Determine if meets regulatory standard *Reserve slots may be used for transitioning an individual who, due to (i) a documented change in his assessed support needs, which requires a service that is not available in the DD Waiver in which the individual is presently enrolled or (ii) a preference for supports found in a waiver with a less comprehensive array of supports, requires and requests a move from the DD Waiver in which (s)he is presently enrolled into another of the DD Waivers to access necessary services.* *[12VAC30-122-90]*1. May include:
	1. Follow-up calls and/or emails to the Service Coordinator
	2. Reviews of material in record include the Individual Support Plan (ISP) assessments
	3. Any additional material requested from SC
2. Determine whether individual can receive supports in current waiver
	1. Can additional services be providing utilizing supports from other funding (i.e. EPSDT)?
	2. Consultation with DBHDS staff, as appropriate
 | Reserve Slot Tracking |  |  |
| **Performed by: DBHDS Data Coordinator; Regional Supports Specialist** |
| **3****(Response)** | Regional Supports Specialist1. If determined that no change is needed in the individual’s support needs or support needs can be met with waiver, do the following:
	1. Create memo (Reserve Slot Denial Memo) that states:
		1. reason for denial
		2. instructions for CSB to notify individual and family, as appropriate
		3. Offer the right to appeal
	2. Send a memo to DS Director and/or CSB designee and copy Data Coordinator
2. If determined that the individual does meet the criteria for reserve slot, do the following:
	1. Create memo (Reserve Slot Approval Memo) that states:
		1. Approved status for individual
		2. Individual’s position on the Reserve Slot chronological queue
	2. Send memo to DS Director and/or designee at the CSB and copy Data Coordinator
 | Reserve Slot Denial MemoReserve Slot Approval Memo |  |  |
| **Performed by: DBHDS Regional Supports Specialist** |
| **4****(Assignment)** | Open slots in either the CL or FIS waiver through attrition must be assigned to an individual from the CSB on the Reserve Slot chronological queue.1. Identify available slots in WaMS
2. Fill spots by chronological order from Reserve Slot chronological queue
3. Create memo (Reserve Slot Assignment Memo) to notify of intent to assign a specific attrition waiver slot to an individual, to include:
	1. Instructions to CSB to notify individual of slot
	2. Instructions to identify a provider and a targeted start date
4. Send memo to DS Director and/or designee Director at CSB and copy Data Coordinator
 | Reserve Slot Assignment Memo |  |  |
| **Performed by: DBHDS Regional Supports Specialist** |
| **5****(Assignment)** | 1. Hold a slot in WaMS for individual for 60 days
2. Once notification of start date is received from CSB, transfer slot in WaMS

The slot that the individual vacates is then filled through the WSAC process.If the CSB does not have an open slot in the appropriate waiver, the individual is kept on the reserve slot chronological queue until a waiver slot through attrition becomes available at that CSB.  | Reserve Slot Assignment Memo |  |  |
| **Performed by: DBHDS Slot Manager** |
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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** |
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| **STEP#** | **PROCESS STEPS** | **PERFORMED BY** |
| # | (Describe the step required to perform action) | (Identify the role/job title of individual performing this task) |
| 1 | The Regional Support Manager monitors the Reserve Slot Assignment process through periodic review of the submissions and decisions.  | Regional Supports Manager |
| 2 | DBHDS reports on the distribution of reserve slots to the General Assembly on a quarterly basis and summarizes this information annually. | Designated Regional Supports Specialist: Waiver Operations Director |
| 3 |  |  |

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**VIII. GLOSSARY OF TERMS**

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| **Term** | **Definition** |
| **Community Service Board (CSB)** | the public body established pursuant to § 37.2-501 that provides mental health, developmental, and substance abuse services within each city and county that established it; the term "community services board" shall include administrative policy community services boards, operating community services boards, and local government departments with policy-advisory community services boards. [§ 37.2-100] |
| **Support Coordinator (SC)** | the person who provides support coordination services to an individual in accordance with 12VAC30-50-440 and 12VAC30-50-490. Formerly, this was referred to as case manager and may be either an employee of a CSB or of a private entity contracted with the local CSB. |
| **Early and Periodic Screening, Diagnosis and Treatment (EPSDT)** | Medicaid's comprehensive and preventive child health program for individuals under the age of 21. |
| **Community Living waiver (CL)** | This waiver is available to both children and adults. People with this waiver usually require supports in their homes all the time. Some people may need to live in these homes with staff to receive supports with complex medical and/or behavioral need |
| **Family and Individual Supports Waiver (FIS)** | This waiver is available to both children and adults. People with this waiver may live with their family, friends, or in their own homes. Some people may need supports with some medical and/or behavioral needs. |
| **Regional Supports Specialist (RSS)** | DBHDS staff responsible for duties regarding the DD waivers’ waiting list and slot assignment processes. |
| **Slot** | An opening or a vacancy in waiver services |
| **Waiver Slot Assignment Committee (WSAC)** | an impartial body of trained volunteers established for each locality or region with responsibility for recommending individuals eligible for a waiver slot according to their urgency of need. |