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| **DATE CREATED** | **CREATED BY** |
|  | Heather Norton |
|  |  |  |  |  |  |  |  |
| **VERSION NO.** | **PROCESS OWNER** |
| DD\_WAIVER SLOT DIST\_VER\_001 | Heather Norton |
|  |  |  |  |  |  |  |  |
| **DATE OF LAST REVISION** | **LAST UPDATED BY** |
| 12/27/2021 | 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 establish process for waiver slot delineation and distribution. |
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| **SCOPE** | Establish process that will effectively manage and streamline the assignment of reserve/emergency slots provided by the General Assembly. |
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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** |
| Director, Waiver Operations |  |
| Assistant Commissioner, Developmental Services |  |
| Data Statistician |  |

**II. CHANGE CONTROL**

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| **PROCESS DESCRIPTION** | Each biennium, DBHDS prepares a request for DD waivers slots for the General Assembly that is based on prior use of regular, facility, and reserve/emergency slots. Each Biennium DBHDS prepare a request for additional waiver slots in addition to above to help address and reduce the priority one waitlist. |
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| **INPUT/TRIGGER** | Once slots are received from the General Assembly, non-designated slots are distributed to the CSB via a slot allocation formula |
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| **OUTPUTS/MEASURE OF SUCCESS** | Annual report concerning the use of the various slots is created and provided to the General Assembly. |
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| **BOUNDARIES** | **Start:** Receipt of DD waiver slots each biennium**End:** Annual Report to General Assembly |
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| **POINTS OF CONTROL** |  |
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| --- | --- | --- | --- |
| **VERSION** | **DATE** | **DESCRIPTION OF CHANGE IMPLEMENTED** | **COMPLETED BY** |
|  |  | Initial Documentation | Heather Norton |
| DD\_WAIVER SLOT DIST\_VER\_001 | 12/27/2021 | Transfer to new template | Chandelle Pullen |
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**III. REPORTING**

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| **REPORTING TOOL/MECHANISMS** |
| **Report Name** | Waiver Slot Report to General Assembly | **Data Source** | WaMS |
| **Report Name** |  | **Data Source** | Emergency Waiver Slot Spreadsheet |
| **Report Name** |  | **Data Source** |  |

**IV. PROCESS**

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| --- | --- | --- | --- | --- | --- | --- | --- |
| **OVERVIEW** |  |  |  |  |  |  |  |
| **STEP#** | **PROCESS STEPS** | **SOURCE OF RECORD** | **APPROVAL REQUIRED** | **APPROVER** |
| 1 | Once slots are received from the General Assembly, non-designated slots are distributed to the CSB via a slot allocation formula | Slot Allocation Provenance; Annual Distribution of Slots |  |  |
| **Performed by: Director, Waiver Operations, Assistant Commissioner, Developmental Services** |
|  | Reserve slots to effect movement between waivers are assigned according to the Reserve Slot Process (see Reserve Slot Process document) | Reserve Slot Waiting List |  |  |
| **Performed by: Director, Waiver Operations** |
|  | Prioritize facility slots for:1. children under 10 who wish to discharge from either a nursing facility or ICF-IID into community supports and services (no less than 10 per biennium)
2. Individuals in training centers
3. Individuals residing in the adult transition homes
4. Individuals transitioning from Mental Health Hospitals
 | Facility Slot Report |  |  |
| **Performed by: Director, Waiver Operations** |
|  | Reserve/Emergency slots1. Distribute following the *Emergency Slot Process* as emergent needs are identified by the Community Service Board
 | Emergency Slot Request Form; Emergency Slot Process; Emergency Slot Spreadsheet |  |  |
| **Performed by: Director, Waiver Operations** |
|  | Create Annual General Assembly report | General Assembly Report |  |  |
| **Performed by: Director, Waiver Operations** |
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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 | Review utilization of waivers by allocation type | Director, Waiver Operations  |
| 2 | Identify emerging patterns | Director, Waiver Operations  |
| 3 | Make adjustments to request based on patterns | Director, Waiver Operations  |
| 4 | As necessary convene stakeholder to discuss patterns and best way to address needs proactively | Director, Waiver Operations  |

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**VIII. GLOSSARY OF TERMS**

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| **Term** | **Definition** |
| **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 Support 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. |
| **Building Independence Waiver (BI)** | This waiver is for adults 18 years and older who are able to live independently. People with this waiver usually own, lease, or control their own living arrangements and supports are complemented by non-waiver-funded rent subsidies. They do not need supports all the time. |
| **Reserve Slots** | Waiver slots that are designated specifically to enable individuals to move between waivers as their needs change |
| **Regular Slots** | Waiver slots provided by the General Assembly without a designated restriction that are allocated by DBHDS to Community Service Boards and assigned through volunteer Waiver Slot Assignment Committees to reduce the Priority 1 waitlist. |
| **Facility Slots** | Waiver slots provided by the General Assembly to enable individuals to move from institutional settings into the community. |
| **Emergency Slots** | Waiver slots provided by the General Assembly to enable individuals meeting emergency criteria per waiver regulations to receive needed waiver supports. |
| **Institutional Settings** | Settings deemed to be institutional in nature include nursing facilities, intermediate care facilities, training centers, adult transition homes and mental health hospitals. |