

CHAPTER 1300
SELF DIRECTED ATTENDANT CARE (SDAC) OPTION

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1300 CHAPTER OVERVIEW

EFFECTIVE DATE: 04/01/08

A. OVERVIEW OF SELF DIRECTED ATTENDANT CARE (SDAC) OPTION

This Chapter describes the standards and requirements for the Self-Directed Attendant Care (SDAC) service option under the ALTCS Home and Community Based Services (HCBS) program. In accordance with State and Federal regulations, SDAC must be medically necessary and cost effective. SDAC is available to members who are elderly and/or have physical disabilities. This includes members with behavioral/mental health issue overlay. A member's legal representative or guardian may make the decision to elect SDAC for the member and assist in directing the Attendant Care activities. The legal representative/guardian may not, however, be the Attendant Care Worker (ACW) when the SDAC option has been selected. For purposes of this Chapter, member means the member or the member's legal representative/guardian.

Member independence and personal choice are the primary foci of the SDAC service option. Members choosing to participate in this service must be interested in actively managing their own health care and be willing to take responsibility for obtaining and maintaining SDAC services.

Member self-direction represents a philosophical approach to service delivery that maximizes a member's ability to:

1. Identify their own needs
2. Determine how and by whom their needs are met
 - a. Choose which tasks to receive from their Attendant Care Worker (ACW)
 - b. Select the days and times for service delivery
 - c. Hire, manage, and terminate the ACW of his or her choice, including family members (excluding spouse and parents of minor children)
3. Define what constitutes quality of care



The components of the SDAC Service include:

1. SDAC Services – These are the tasks performed by the Attendant Care Worker (ACW) while working directly with the member. Typical tasks would include homemaking, personal care, and general supervision.
2. Training of member – Training is designed to help the member in the employer capacity and includes tasks such as how to hire and supervise employees.
3. Training of ACW – Universal precaution and HIPAA privacy regulation training is mandatory for all ACWs. Other training is covered if identified as a need by the member and authorized by the case manager (CM). CPR and First Aid are pre-employment requirement and are not reimbursable services.
4. Fiscal and Employer Agent (FEA) - The FEA provides fiscal management services to the member choosing to participate in the SDAC service option. The FEA also has the responsibility to procure workers compensation insurance for the member's caregiver(s).
5. Case Management (CM) – The CM role in the SDAC Service is to collaborate with the member to help the member meet his or her goals and be successful in the SDAC service. The case manager is responsible for advising the member as needed and appropriate, this may include but is not limited to providing education, providing information related to available resources, and authorizing services as determined appropriate and cost effective through the assessment and service planning process. For complete information about standards and policies regarding case managers, see Chapter 1600.

Except for Case Management, all components listed above are separately billable by the provider. A table listing billable services and codes is included as Exhibit 1300-1.



B. CHAPTER DEFINITIONS

The following words and phrases contained in Chapter 1300 of the AHCCCS Medical Policy Manual have the following meaning:

Fiscal and Employer Agent (FEA) -- The entity(ies) providing fiscal management services to members selecting the Self-Directed Attendant Care service option. FEA is discussed further in Section 1340 of this Chapter.

Self-Directed Attendant Care (SDAC) Service Option -- A service option offered to ALTCS EPD members who reside in their own homes. Within this option, members utilize an Attendant Care Worker (ACW) to perform tasks such as homemaking, personal care, and general supervision. This service differs from traditional Attendant Care in that the caregiver who provides these services is an employee, not of an agency, but of the member who hires, trains and supervises the caregiver.

Self-Directed Attendant Care (SDAC) Tasks – Tasks performed by the ACW which are essential to the health and welfare of the member.

C. OTHER LINKS AND RESOURCES

1. AHCCCS Website (www.azahcccs.gov.)
2. Member SDAC Manual (<http://www.azahcccs.gov/PublicNotices/SDAC/SDAC.asp>)

D. REFERENCES

1. AHCCCS Long Term Care Contracts for Elderly and Physically Disabled (EPD)

EXHIBIT 1300-1

SERVICE CODES AND APPLICABLE UNITS OF SERVICE

EXHIBIT 1300-1

SERVICE	UNIT	CODE / MODIFIER	COMMENTS
Attendant Care Services			
Attendant care provided through the SDAC service	15 minutes	S5125 / U2	Code and modifier are utilized for all ACW provided in the SDAC service.
Attendant care provided through the SDAC service	15 minutes	S5125 / U2, U4 *	Code and modifier are utilized for ACW providing attendant care when the ACW is a family member who is not residing in member's home.
Attendant care provided through the SDAC service	15 minutes	S5125 / U2, U5 *	Code and modifier are utilized for ACW providing attendant care when the ACW is a family member who is residing in member's home.
Training			
Training provided through the SDAC service to the Member	15 minutes	S5108	Code is utilized for training to the member as needed about SDAC.
Training provided through the SDAC service to the ACW	15 minutes	S5115	Code is utilized for training to ACW who is not related to the member.
Training provided through the SDAC service to the ACW	15 minutes	S5110	Code is utilized for training to ACW who is related to the member.
FEA Services			
Initiation of FEA – Service per member	Per event	T2040/ UA	Code and modifier are utilized for a one-time fee to initiate a case for a consumer that elects SDAC program. Initial service includes first month service.
FEA– Service Ongoing	Per event	T2040/ UB	Code and modifier are utilized to designate monthly billing thereafter
Initiation of FEA Service per ACW including a background check.	Per event	T1023 / UC	Code and modifier are utilized to designate a one-time fee to open a caregiver case, includes a background check.
Initiation of FEA Service per ACW without a background check	Per event	T1023	A one-time fee to open a caregiver case without a background check

Note: SDAC services may not be provided by a spouse of member or parent of member who is their minor child.

* When ACW is a family member, second modifier **must** be utilized. If ACW is not a family member one modifier is sufficient.

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1310 SCOPE OF ATTENDANT CARE SERVICES FOR SDAC

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A. DESCRIPTION.

AHCCCS covers SDAC services provided to ALTCS EPD members who elect SDAC. The ACW provides assistance with a combination of tasks, which may include homemaking, personal care, and general supervision. The SDAC service option enables members who might otherwise be in a nursing facility or HCB alternative residential setting to remain in, or return to, their own home when it is cost effective to do so. The intent of SDAC is to provide members the opportunity to maintain control over their care as well as to provide support which will allow the members to remain integrated within their families, communities and other support systems. Attendant Care Workers (ACW) are not required to be licensed or certified by a State regulatory board or agency.

B. AMOUNT, DURATION AND SCOPE.

Attendant care services are available only to ALTCS members who reside in their own home. However, attendant care services are not limited to the boundaries of the member's home. As indicated in the individualized service plan, the ACW may accompany the member as necessary in order to meet his/her needs in a variety of settings, including, but not limited to, a physician's office, school setting and workplace. Other HCB services may be provided in conjunction with SDAC. However, within a given day, attendant care services may not be provided in conjunction with personal care, home delivered meals, adult day health or homemaker services without special justification by the case manager and approval by the ALTCS Contractor or AHCCCS Administration for FFS members.

C. TASKS WHICH MAY BE PROVIDED BY ACW.

The ACW provides services in accordance with the member's individualized service plan and as authorized by the case manager. The services which may be provided include, but are not limited to:

1. Homemaker tasks including cleaning, laundry, food preparation and essential errands such as grocery shopping, securing medical supplies and household items
2. Personal care tasks including bathing, skin care, oral hygiene, toileting, ambulation, grooming, dressing, use of assistive devices, feeding and caring for other physical needs



3. General supervision which includes:
 - a. Monitoring and companionship for a member who cannot be safely left alone.
 - b. Assisting with self-administration of medications, for example, opening the container.
 - c. Monitoring the member's medical condition and ability to perform the activities of daily living including, but not limited to, reporting any changes in condition to the member's physician and case manager.
4. Coordination with the member and/or the member's family, guardian or representative to assure activities and necessary services are provided to meet the objectives of the member's individualized service plan.
5. Assistance with recreational/socialization skill development, training in activities of daily living.

A unit of ACW service within the SDAC service option is 15 minutes. Refer to Exhibit 1300-1 for information regarding service codes.



1320 ROLES AND RESPONSIBILITIES

EFFECTIVE DATE: 04/01/08

Within SDAC there are three individuals who are critical to the effective implementation of the member's individualized service plan. These include the member, case manager, and the attendant care worker (ACW). Each of these individuals has tasks and responsibilities which must be met in order for the plan to be successful.

A. MEMBER ROLES AND RESPONSIBILITIES

Members have the right to make decisions about how to best have their needs met, including who will provide their services and when they will be provided. SDAC allows members to make decisions about the services the ACW will provide and how to receive them.

Within the SDAC service the member has two roles, that of employer and that of self-advocate.

1. Member Responsibilities as Employer:

As the employer of the ACW, the member has responsibilities including, but not limited to:

- a. Recruiting, interviewing, and hiring the ACW(s)
- b. Training the ACW(s) in the manner in which duties will be performed and/or requesting assistance and authorization if additional assistance is required
- c. Directing the care received from the ACW(s)
- d. Preparing a description of duties for ACW(s)
- e. Scheduling the ACW(s)
- f. Monitoring the ACW(s) hours to ensure that hours do not exceed those authorized by the case manager. If more hours are required, the member must contact the case manager in advance and request reconsideration for additional hours.
- g. Supervising ACW(s), including termination of employment if this becomes necessary
- h. Ensuring that all required paperwork is accurately completed and sent to the FEA in a timely manner including submission of signed timesheets as requested by the FEA. Failure to accurately represent actual time worked is subject to a Medicaid fraud investigation.



- i. Reporting any payroll issues to the FEA included when the ACW resigns and/or is terminated.
2. Member Responsibilities as Self-Advocate:
- Within SDAC the member is a self-advocate. The member is expected to direct his/her care and work collaboratively with the case manager to ensure that his/her needs are met. In the role of self-advocate, the member has responsibilities including but not limited to:
- a. Participating in the development of the individualized service plan.
 - b. Developing a contingency (back-up) plan with assistance from his/her case manager. For more details regarding contingency plans, refer to Chapter 1600, Policy 1620.
 - c. Acting on the contingency plan and reporting any gaps in ACW services to the case manager
 - d. Monitoring the quality of care provided, including fraud abuse and/or neglect by the ACW, and reporting any problems or concerns to the case manager. Any unresolved dissatisfaction with the ACW should be reported to the case manager. The case manager will assist the member to determine if issues can be resolved or if the preferable alternative is a change in ACW.
 - e. Consulting with the case manager when assistance is required due to dissatisfaction/issues related to SDAC and/or the ACW.
 - f. Notifying the case manager if services must be changed or if there is a need for additional hours.
 - g. Notifying the case manager and physician of any change in health condition.
 - h. Notifying the case manager of admission or discharge to a hospital or other care facility. If member is unable to notify the case manager, it is required that the ACW or another responsible individual should report for the member.

Refer to Chapter 900, Policy 930 for a review of member rights



B. CASE MANAGER ROLES AND RESPONSIBILITIES

1. In addition to the Case Manager Standards found in the Chapter 1600, the case manager is responsible for:
 - a. Informing and educating members and/or legal representatives about the SDAC service option including verifying that members electing SDAC understand their roles and responsibilities. Evidence of such discussion must be included in case notes.
 - b. Referring interested members and/or legal representatives to available resources for further information about and/or facilitating member participation in the Self-Directed Attendant Care (SDAC) service option.
 - c. Facilitating initiation of documentation as required by the FEA.
 - d. Advising the member as needed regarding the hiring and training of the ACW.
 - e. Assisting the member to assess his/her training needs and authorizing training based on that assessment as appropriate.
 - f. Documenting in the case notes and recording on the Non-Provision of Services and Gap logs any service gaps that are reported by the member and completing and submitting service gap reports as required by AHCCCS.
 - g. Assisting the member as needed in finding a replacement worker (generally from an agency) to provide services when the member reports that the ACW is unavailable and the member requests assistance. Services need to be provided within the timelines specified by the member's Member Service Preference Level. See Chapter 1600 for detailed information about these Preference Levels and the timelines associated with each.
 - h. Facilitating any needed transition from the SDAC service option to traditional service delivery system or transition back to SDAC when requested and appropriate.
 - i. Providing the member with a written notice of action that explains the member's right to file an appeal if the member disagrees with the authorization of SDAC services (including the amount/frequency of a service Refer to Arizona Administrative Code, Title 9, Chapter 34 (9 A.A.C. 34) for additional information.



C. ATTENDANT CARE WORKER ROLES AND RESPONSIBILITIES

The attendant care worker (ACW) is an employee of the member who will provide the attendant care services (outlined in Policy 1310) that the member needs to be able to maintain independence in his/her own home. The ACW is to carry out the duties, as assigned, in the manner directed by the member, as appropriate, and as authorized by the case manager.

The ACW must meet certain pre-employment requirements and has certain rights and responsibilities.

1. ACW Pre-Employment Requirements:

Pre-employment requirements include, but are not limited to, the following:

- a. Demonstrate proof of citizenship or legal residency.
- b. Present two documents that establish identity. At least one of the documents must include a photograph.
- c. Provide all required employment documentation as required by, State, or Federal requirements.
- d. If the worker will be driving the member, he/she must provide proof of current Arizona driver's license and insurance.
- e. If requested by the member, submit to criminal background checks and references.
- f. Demonstrate proof of certification in CPR and First Aid. Please note, CPR and First Aid are required prior to employment and are not reimbursable services.
 - i. Training in First Aid and CPR must be provided or sponsored by a nationally recognized organization (e.g., American Heart Association, American Red Cross, etc.), using an established training curriculum.
 - ii. Training sessions must be held in person, so that the participant may demonstrate learned skills such as mouth to mouth resuscitation and chest compressions. Web-based training without the benefit of on-site return demonstration of skills is not acceptable.
- g. The FEA is responsible for maintaining evidence of a. through f.



2. ACW Responsibilities:

Responsibilities of the ACW include but are not limited to the following:

- a. Treating the member with dignity and respect. This includes respecting personal beliefs, culture, religion, and privacy as well as respect for the member's personal property.
- b. Keeping personal information about the member and/or his/her family confidential.
- c. Communicating effectively with the member. If the member has a preferred communication method or device, this should be respected and utilized.
- d. Providing safe care as instructed by the member. Universal precautions must always be utilized.
- e. Completing mandatory and other training that the member identifies as necessary to meet his/her unique needs.
- f. Documenting completed tasks as outlined in the service plan within the requested timeframes, and as instructed by the member.
- g. Immediately reporting an emergency situation by calling 911. Report urgent situations to the proper authority as indicated.
- h. Reporting any suspected abuse, neglect, or exploitation of a SDAC member to the case manager and proper authorities.
- i. Communicating with the member's case manager (when the member is unable) regarding any change in the member's condition as well as an admission to a health facility as appropriate.
- j. Completing payroll records accurately and within timelines as instructed by the member and required by the FEA. Failure to accurately represent actual time worked is subject to a Medicaid fraud investigation.
- k. Providing adequate notice of planned absence or as soon as it is known that the ACW is unable to complete the scheduled assignment. This includes notifying the member in advance if the ACW must be absent for a portion of a scheduled assignment or will be arriving late to scheduled assignment.



- l. Providing a two-week notice to the member if she or he will be voluntarily terminating employment.
 - m. Informing the FEA and member of any changes to their demographics (e.g. address, telephone number)
3. Rights of the ACW:

The ACW has certain rights as an employee of the member. These include, but are not limited to, the following:

- a. To be treated with dignity and respect by the member and his/her family and friends. This includes respect for personal beliefs, culture, religion, and privacy.
- b. To have time worked recorded and paid properly.
- c. To refuse to perform tasks that might be adverse to the member's health.
- d. To refuse to perform a task that the ACW believes poses a danger to his/her own health.
- e. To refuse to perform tasks that the ACW believes that he/she have not been adequately trained to perform and which are not included/specified in the service plan.



1330 TRAINING

EFFECTIVE DATE: 04/01/08

A. MEMBER ASSESSMENT AND TRAINING

Description: The case manager will assist the member to assess his/her own training needs as they relate to directing his/her own care. These training needs will be determined by using the “What are my Training Needs” Form (under development). There is no mandatory member training for SDAC participation. Training is available to assist the member to succeed in directing his/her own care. Training requires prior authorization from the case manager.

Amount, Duration and Scope: Member training for SDAC includes the following components:

1. Member SDAC Manual: Each member who selects SDAC will receive a comprehensive manual containing information about this service option. The manual describes tools that are available to assist the member in determining his/her needs, develop an employment contract, and train, supervise and evaluate the ACWs that he/she hires. The SDAC Manual will be standardized and approved by AHCCCS for all Contractors. With AHCCCS approval, Contractors may make minor additions to customize the Manual for their own programs.
2. Training of the Member: Member training may be provided by appropriately registered AHCCCS providers. Member training in the following topics will be available for all members who select SDAC
 - a. Hiring and Managing and terminating Attendant Care Workers
 - b. Evaluating Monthly Reports from the FEA
 - c. Understanding Services Available in Your Community
 - d. Requesting Help When You Need It
 - e. Safety and Health

A unit of training equals 15 minutes. Refer to Exhibit 1300-1 for information regarding service codes.



B. ATTENDANT CARE WORKER ASSESSMENT AND TRAINING

Description: Under the SDAC service option, the ACW must meet certain training requirements. Mandatory training includes training in Universal Precautions and Health Insurance Portability and Accountability Act (HIPAA) privacy regulations. Other training is optional and covered by AHCCCS in accordance with the guidelines specified in this Policy.

In addition to the mandatory training, there are extensive training materials included in the SDAC Member Manual. The member may use this material to train his or her worker or may request training be done by an outside agency arranged by the Contractor to provide this training. Training requires prior authorization from the case manager.

Amount, Duration and Scope: All Attendant Care Workers hired by members under the SDAC service option must receive the mandatory training. Other training is covered when the training is required to meet the needs of the member and the training is authorized by the case manager.

1. Required Training:

- a. Universal Precautions - Universal Precaution training may be provided by the member or a provider agency. If provided by a registered provider, it is a reimbursable service but must be authorized by the case manager. Regardless of who provides the training, the ACW must maintain proof that this training was completed.
- b. HIPAA Training- HIPAA Training may be provided by the member or a provider agency. If provided by a registered provider, it is a reimbursable service but must be authorized by the case manager. Regardless of who provides the training, the ACW must maintain proof that this training was completed.

2. Optional Training: Listed below are examples of topics included in the SDAC Member Manual that may be used as training for the ACW. The member may provide and review materials with the ACW or ask the case manager to authorize training for the ACW.

- a. Bathing
- b. Dressing
- c. Transfer



- d. Home and Fire Safety
- e. Disease specific topics such as Arthritis, Chronic Heart Failure or Depression
- f. Medication Side Effects
- g. Nutrition/Obesity
- h. Caregiver Burnout



1340 FISCAL AND EMPLOYER AGENT SERVICES

EFFECTIVE DATE: 04/01/08

Description.

AHCCCS requires the services of a qualified Fiscal and Employer Agent (FEA) for those members who choose the SDAC service option. The FEA provides fiscal management services, as described in this section, for members selecting the SDAC service option.

Amount, Duration, and Scope.

Fiscal and Employer Agents must be registered AHCCCS Providers. In order to register with AHCCCS, FEAs must meet all applicable Federal and State requirements. All FEA services must be authorized by the case manager.

A. INITIATION OF FEA SERVICES FOR MEMBER

Within the SDAC service option the member is the employer of the ACW. The member must meet certain Federal and State requirements to be an employer. The role of the FEA is to assist the member to complete all required documentation, review the documentation, and file the paperwork with the proper Federal and State authorities.

To initiate services for a member, the FEA must complete at least the following tasks:

1. Obtain Federal Employer ID Number (FEIN) for the member
2. Review and file required documentation
3. Maintain copies of all required documentation

Unit of service is event based, one per member, per initiation of SDAC service.



B. INITIATION OF FEA SERVICES FOR ACW

Within the SDAC Service option the ACW is the employee of the member. The role of the FEA is to assist the potential ACW to become an employee. After the member has identified the individual(s) who will be employed as his/her ACW, the member must notify the FEA. The FEA must contact the identified individual(s) to facilitate the process allowing the ACW to become an employee.

To initiate services for the ACW, the FEA must complete at least the following tasks:

1. Prepare and distribute employee (ACW) hiring packets.
2. Obtain and verify all documents required by AHCCCS, State, and Federal authorities necessary to allow the SDAC member to employ the ACW.
3. Maintain copies of all required documentation

Unit of service is event based, one per ACW.

C. ON-GOING MONTHLY SERVICES

The FEA functions as the payroll department for the SDAC member. As such, the FEA provides monthly services related to payroll. Additionally, the FEA must complete and file all required payroll documentation.

Minimally the following tasks must be completed by the FEA:

1. Perform all employer payroll duties, including:
 - a. Distribution of payroll (should be done no less than twice a month)
 - b. Completion of required tasks related to payroll taxes including withholding, deposit, and filing of required documentation.
 - c. Comply with all Federal and State required year-end employer filing requirements.
2. Contact case managers and/or members about over- and under-utilization of services problems identified with time sheets, or other payroll related issues.



3. Provide toll-free customer service assistance to employers and employees related to all FEA activities.
4. Provide monthly and ad-hoc utilization reports as requested by the member, case manager, Contractor, or AHCCCS related to utilization of hours and cost.

Unit of service is event based, one per month, per member.

D. BACKGROUND CHECKS

It is recommended, but not required, that background checks be completed on all ACWs hired within the SDAC service option. If a member requests that a background check be completed, the FEA will complete this service. The FEA will provide the background check results to the member and ALTCS Program Contractor so that a determination to hire can be considered by the member.

All background checks must be authorized by the case manager.

Unit of service is event based, one per ACW.

E. OTHER REQUIREMENTS OF FEA

The FEA has the responsibility to procure workers compensation insurance for the member's caregiver(s).

FEAs are an AHCCCS provider and an integral component of the care delivery system for members selecting the SDAC service option. As an AHCCCS provider, FEAs are subject to all applicable AHCCCS regulations and policies.

Certain information requests may be made by AHCCCS or AHCCCS Contractors. The FEA must provide requested information within the required timelines. FEAs will not receive additional reimbursement for providing requested information.