

Reform 2020: Pathways to Independence

Section 1115 Waiver No. 11-W-00286/5

Demonstration Year 11
July 1, 2023 through September 30, 2023
Quarterly Report (Q1)

Submitted to:

U.S. Department of Health & Human Services
Centers for Medicare & Medicaid Services
Center for Medicaid & CHIP Services

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1. Introduction

Minnesota’s Reform 2020 demonstration waiver authorized under section 1115 of the Social Security Act provides federal waiver authority to implement key components of Minnesota’s broader reform initiatives to promote independence, increase community integration and reduce reliance on institutional care for Minnesota’s older adults and people with disabilities. Federal waiver authority for the five-year demonstration was scheduled to expire on June 30, 2018. On July 19, 2017 the State submitted a request to renew the Reform 2020 waiver through June 30, 2021. The Reform 2020 waiver operated under a temporary extension through January 31, 2020. CMS approved the extension of the waiver on January 31, 2020 for the period February 1, 2020 through January 31, 2025.

1.1 Alternative Care Program

The Alternative Care program provides a home and community services benefit to people age 65 and older who need nursing facility level of care and have income or assets above the Medical Assistance (MA) standards. The Alternative Care program was established as an alternative to provide community services to seniors with modest income and assets who are not yet eligible for MA. This allows people to get the care they need without moving to a nursing home. The Reform 2020 demonstration waiver provides federal matching funds for the Alternative Care program.

1.2 Goals of Demonstration

The Reform 2020 waiver provides federal support for the State’s Alternative Care program. The Alternative Care program is designed to assist the State in its goals to:

- Increase and support independence;
- Increase community integration; and
- Reduce reliance on institutional care.

2. Enrollment Information

The following tables provide the first quarter enrollment data.

Quarter 1 (July 1, 2023 – Sept. 30, 2023)

Demonstration Population (as hard coded in the CMS 64)	Enrollees at close of quarter (9/30/2023)	Current Enrollees (as of data pull 10/2/2023)	Disenrolled in Current Quarter (7/1/2023 to 9/30/2023)
Population 1: Alternative Care	2,651	2,650	6

2.1 Alternative Care Program Wait List Reporting

There is no waiting list maintained for the Alternative Care program and there are no plans to implement such a list.

3. Outreach and Innovative Activities

3.1 Minnesota Department of Human Services Public Web Site

Information on the Alternative Care program is available to the public on the Department of Human Services (DHS) website. The [Alternative Care](#) web page provides descriptive information about program eligibility, covered services, and the program application process. The web page also refers users to the Senior LinkAge Line® (described in the following section) where they can speak to a human services professional about the Alternative Care program and other programs and services for seniors.

3.2 Senior Linkage Line®

The [Senior Linkage Line®](#) is a free information service available to assist older adults and their families find community services. Information is available on the website or people can call to receive information about services near them or get help evaluating their situation to determine what kind of service might be helpful. Information and Assistance Specialists direct callers to the organizations in their area that provide services. Specialists can conduct three-way calls to link callers with resources and offer follow-up as needed. Specialists are trained health and human service professionals. They offer objective, neutral information about senior services and housing options.

3.3 Statewide Training

DHS supports county social service and tribal health care agencies by providing technical assistance through webinars and response to issues and questions via email and phone contacts. Ongoing training related to the Medicaid Management Information System (MMIS) tools and processes, long term care consultation and level of care determinations, case management, vulnerable adult and maltreatment reporting and prevention is also provided. DHS staff regularly attend regional meetings convened by county social service and tribal health care agencies. DHS also publishes and maintains the following policy manuals to provide direction and support the work of county social service and tribal health care agencies. The primary manuals are:

- [Community-Based Services Manual](#) (CBSM) for counties and tribal health care agencies who administer home and community-based services that support people receiving services;
- [Minnesota Health Care Programs](#) (MHCP) Provider Manual for providers enrolled to provide services; and
- [MMIS User Manual](#) for payment of claims for services.

4. Updates on Post-Award Public Forums

In accordance with paragraph 42 of the Reform 2020 special terms and conditions, DHS held a public forum on July 27, 2023 to provide the public with an opportunity to comment on the progress of the Reform 2020 demonstration. This forum covered DY10 (July 1, 2022 – June 30, 2023). A notice was published on the DHS Public Participation website on June 27, 2023 informing the public of the date and time of the forum and instructions on how to join the forum.

There were no members of the public in attendance at the forum. The next public forum is planned for February 2024.

5. Policy and Operational Developments

5.1 Electronic Visit Verification

Paragraph 34 of the Reform 2020 special terms and conditions requires that the State demonstrate compliance with the Electronic Visit Verification (EVV) system requirements. EVV for personal care services and home health services was phased in beginning in June 2022 and is expected to be completed in October 2023. For services subject to the requirements, EVV implementation is expected to reduce inappropriate service payments by 1% through the identification of recordkeeping inaccuracies, administrative errors, and fraud during post-payment review.

The Alternative Care services subject to EVV as personal care services are:

- Consumer Directed Community Supports (CDCS) direct support workers within the personal assistance category
- Personal care assistance
- Homemaker (assistance with activities of daily living)
- Individual Community Living Supports (in person)
- Respite (in-home)

The services subject to EVV as home health services are:

- Home health aide
- Nursing services
- Skilled nursing visit
- Tele-homecare

6. Financial and Budget Neutrality Development Issues

Demonstration expenditures are reported quarterly using Form CMS-64, 64.9 and 64.10. DHS also provides CMS with quarterly budget neutrality status updates using the Budget Neutrality Monitoring Tool provided through the Performance Metrics Database and Analytics (PMDA) system.

7. Member Month Reporting

Eligibility Group	Month 1: July 2023	Month 2: Aug. 2023	Month 3: Sept. 2023	Total for Quarter Ending Sept. 30, 2023
Population 1: Alternative Care	2,718	2,719	2,697	8,134

8. Consumer Issues

8.1 Alternative Care Program Beneficiary Grievances and Appeals

A description of the State’s grievance system and the dispute resolution process is outlined in Minnesota’s home and community-based services waiver application and the CMS-372 report for the Elderly Waiver, authorized under section 1915(c) of the Social Security Act. These processes apply to the Alternative Care program. Grievances and appeals filed by Alternative Care program participants are reviewed by DHS on a quarterly basis. Alternative Care program staff assist in resolving individual issues and identifying significant trends or patterns in grievances and appeals filed. The following is a summary of Alternative Care program grievance and appeal activity during the period July 1, 2023 through September 30, 2023.

**Alternative Care Program Beneficiary Grievance and Appeal Activity
July 1, 2023 through September 30, 2023**

	Affirmed	Reversed	Dismissed	Withdrawn
Filed	0	0	0	1
Closed	0	0	0	0

8.2 Alternative Care Program Adverse Incidents

A detailed description of participant safeguards applicable to Alternative Care enrollees, including the infrastructure for vulnerable adult reporting, the management process for critical event or incident reporting, participant training and education, and methods for remediating individual problems is outlined in the section 1915(c) HCBS Waiver application and the CMS-372 report for the Elderly Waiver.

Incidents of suspected abuse, neglect, or exploitation are reported to the Minnesota Adult Abuse Reporting Center (MAARC) established by DHS. MAARC forwards all reports to the respective investigative agency. In addition, MAARC staff also screen all reports for immediate risk and make all necessary referrals. Immediate referral is made by MAARC to county social services when there is an identified emergency safety need. Reports containing information regarding an alleged crime are forwarded immediately by MAARC to law enforcement. Reports of suspicious death are forwarded immediately to law enforcement, the medical examiner and the ombudsman for mental health and developmental disabilities.

For reports that do not contain an indication of immediate risk, the MAARC notifies the lead agency responsible for investigation within two working days. The lead investigative agency provides information, upon request of the reporter, within five working days as to the disposition of the report to the reporter. Each lead investigative agency evaluates reports based on prioritization guidelines. DHS requires county lead investigative agencies to use a standardized tool that promotes safety through consistent, accurate and reliable report intake and assessment of safety needs.

Investigation guidelines for all lead investigative agencies are established in state law and include interviews with alleged victims and perpetrators, evaluation of the environment

surrounding the allegation, access to and review of pertinent documentation and consultation with professionals, as applicable.

Supported in part by funding under a CMS Systems Change Grant, DHS developed, implemented and manages a centralized reporting data collection system housed within the Social Services Information System (SSIS). This system stores adult maltreatment reports for MAARC. SSIS also supports county functions related to vulnerable adult report intake, investigation, adult protective services and maintenance of county investigative results. Once maltreatment investigations are completed, the county investigative findings are documented within SSIS.

Due to an IT issue, DHS is temporarily unable to run data to report on adverse incidents. There is no impact on the ability for data to be entered in the system. The data is being collected but the IT process required to synthesize the data is not functional. IT work to improve and expand the system's data reporting capacity caused significant programming problems. State IT services expects that it will take some time to rebuild the program and the State does not have a target completion date at this time.

State staff are evaluating whether there are other data sources that could be used to meet the adverse incident reporting requirement. Once the IT programming is corrected, DHS will have the data to submit the outstanding quarterly and annual report data impacted by this problem.

9. Quality Assurance and Monitoring Activity

9.1 Alternative Care Program and HCBS Quality Strategy

As described in the section 1915(c) Elderly Waiver, the DHS Quality Essentials Team (QET) within the Aging and Disability Services Administration meet twice a year to review and analyze collected performance measure and remediation data. The QET is a team made up of program and policy staff from the Alternative Care and HCBS waiver programs. The QET is responsible for integrating performance measurement and remediation associated with monitoring data and recommending system improvement strategies. The scope of the strategies are driven by the data.

Problems or concerns requiring intervention beyond existing remediation processes, such as systems improvements, are directed to the Policy Review Team for more advanced analysis and improved policy and procedure development, testing, and implementation. The QET has identified and implemented a quality monitoring and improvement process for determining the level of remediation and any systems improvements required as indicated by performance monitoring.

Paragraph 35 of the Reform 2020 special terms and conditions requires that the State have an approved Quality Improvement Strategy and that the State work with CMS to develop approvable performance measures within 90 days following the approval of the waiver. On July 17, 2020, DHS submitted its quality improvement strategy (QIS) to CMS as final. The QIS includes assurances and performance measures for the Alternative Care program and parallels the State's section 1915(c) waiver QIS process. Specifically, the State collects three full years of

data and submits the data 18 months prior to submitting the extension request. DHS plans to parallel this process and submit the QIS data for Alternative Care for DY8, DY9 and DY10 18-months prior to the extension.

Paragraph 36 of the Reform 2020 special terms and conditions requires the State to report annually the deficiencies found during the monitoring and evaluation of the quality assurances, an explanation of how these deficiencies have been or are being corrected, as well as the steps that have been taken to ensure that these deficiencies do not reoccur. The State is also required to report on the number of substantiated instances of abuse, neglect, exploitation and/or death, the actions taken regarding the incidents and how they were resolved. The Alternative Care program report is modeled after the Elderly Waiver annual CMS-372 report and includes information on deficiencies, data related to cases of maltreatment and neglect, and corrective action/remedial steps taken.

10. Demonstration Evaluation

DHS contracted with the University of Minnesota and Purdue University for development of an evaluation design and analysis plan that covers all elements outlined in paragraph 68 of the Reform 2020 waiver special terms and conditions. A draft evaluation plan for the waiver extension period effective February 1, 2020 through January 30, 2025 was submitted to CMS on July 20, 2020. CMS provided initial feedback on April 12, 2021, and additional feedback on July 6, 2021. The State addressed CMS' feedback, and CMS gave final approval of the evaluation plan on September 27, 2021.

The draft Summative Evaluation Report for the previous demonstration period of July 1, 2013 through January 31, 2020 was submitted to CMS on August 12, 2021. CMS' comments on the draft report were received on January 11, 2022. The State revised the report in response to CMS' feedback and resubmitted the report on March 4, 2022. The State has not received feedback on this report to date.

11. State Contact

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