

# APPENDIX K: Emergency Preparedness and Response

## Background:

This standalone appendix may be utilized by the state during emergency situations to request amendment to its approved waiver. It includes actions that states can take under the existing Section 1915(c) home and community-based waiver authority in order to respond to an emergency. Other activities may require the use of various other authorities such as the Section 1115 demonstrations or the Section 1135 authorities.<sup>i</sup> This appendix may be completed retroactively as needed by the state.

## Appendix K-1: General Information

### General Information:

A. State: MAINE

B. Waiver Title:

Home and Community Based Services for Members with Brain Injury (ME 1082), the Home and Community Based Services for the Elderly and for Adults with Disabilities (ME 0276), the Home and Community Based Services for Adults with Other Related Conditions (ME 0995), the Home and Community Based Services for Adults with Intellectual Disabilities or Autism Spectrum Disorder (ME 0159), and the Support Services for Adults with Intellectual Disabilities or Autism Spectrum Disorder (ME0467)

C. Control Number:

ME.1082. R01.10  
ME.0276. R05.10  
ME.0995. R01.12  
ME.0159. R07.09  
ME.0467. R03.03

D. Type of Emergency (The state may check more than one box):

<input checked="" type="checkbox"/>	Pandemic or Epidemic
<input type="checkbox"/>	Natural Disaster
<input type="checkbox"/>	National Security Emergency
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other (specify):

E. **Brief Description of Emergency.** *In no more than one paragraph each*, briefly describe the: 1) nature of emergency; 2) number of individuals affected and the state's mechanism to identify individuals at risk; 3) roles of state, local and other entities involved in approved waiver operations; and 4) expected changes needed to service delivery methods, if applicable. The state should provide this information for

each emergency checked if those emergencies affect different geographic areas and require different changes to the waiver.

In this additive submission, Maine seeks to improve an HCBS system that has been tested and strained by the pandemic through allocation of authorized funds under section 9817 of the American Rescue Plan Act of 2021 (ARP) for supplemental payments to qualified providers under ME.0159 to assist with ongoing, COVID-related staffing shortages in residential group homes. These supplemental payments are effective July 1, 2022 and payments will be made between July 1, 2022 and September 30, 2022.

Additionally, the State seeks to amend the date, as set forth in Maine's Combined (1082, 0276, 0995, 0159, 0467) Appendix K approved January 6, 2022, that service providers must make qualifying Bonus Payments to staff, by extending the deadline for making payments from March 31, 2022 to December 31, 2022.

**F. Proposed Effective Date: Start Date: March 1, 2020 Anticipated End Date:** Six months after the conclusion the federal Public Health Emergency.

**G. Description of Transition Plan.**

All transition activities will take place in response to the impact of COVID-19 as efficiently and effectively as possible based upon the complexity of the change.

**H. Geographic Areas Affected:**

These actions will apply across the waivers to all individuals impacted by the COVID-19 virus.

**I. Description of State Disaster Plan (if available) *Reference to external documents is acceptable:***

Maine's State Disaster Plan (called the State Comprehensive Emergency Management Plan) is maintained by the Maine Emergency Management Agency and can be found here:  
<https://www.maine.gov/mema/maine-prepares/plans-trainings-exercises/planning>

## Appendix K-2: Temporary or Emergency-Specific Amendment to Approved Waiver

### Temporary or Emergency-Specific Amendment to Approved Waiver:

*These are changes that, while directly related to the state's response to an emergency situation, require amendment to the approved waiver document. These changes are time limited and tied specifically to individuals impacted by the emergency. Permanent or long-ranging changes will need to be incorporated into the main appendices of the waiver, via an amendment request in the waiver management system (WMS) upon advice from CMS.*

**a. \_\_\_ Access and Eligibility:**

**i. \_\_\_ Temporarily increase the cost limits for entry into the waiver.**

[Provide explanation of changes and specify the temporary cost limit.]

**ii. \_\_\_ Temporarily modify additional targeting criteria.**

[Explanation of changes]

**b. \_\_\_ Services**

**i. \_\_\_ Temporarily modify service scope or coverage.**

[Complete Section A- Services to be Added/Modified During an Emergency.]

ii.      **Temporarily exceed service limitations (including limits on sets of services as described in Appendix C-4) or requirements for amount, duration, and prior authorization to address health and welfare issues presented by the emergency.**

[Explanation of changes]

iii.      **Temporarily add services to the waiver to address the emergency situation (for example, emergency counseling; heightened case management to address emergency needs; emergency medical supplies and equipment; individually directed goods and services; ancillary services to establish temporary residences for dislocated waiver enrollees; necessary technology; emergency evacuation transportation outside of the scope of non-emergency transportation or transportation already provided through the waiver).**

[Complete Section A-Services to be Added/Modified During an Emergency]

iv.      **Temporarily expand setting(s) where services may be provided (e.g. hotels, shelters, schools, churches) Note for respite services only, the state should indicate any facility-based settings and indicate whether room and board is included:**

[Explanation of modification, and advisement if room and board is included in the respite rate]:

v.      **Temporarily provide services in out of state settings (if not already permitted in the state's approved waiver).** [Explanation of changes]

c.      **Temporarily permit payment for services rendered by family caregivers or legally responsible individuals if not already permitted under the waiver.** Indicate the services to which this will apply and the safeguards to ensure that individuals receive necessary services as authorized in the plan of care, and the procedures that are used to ensure that payments are made for services rendered.

d.      **Temporarily modify provider qualifications (for example, expand provider pool, temporarily modify or suspend licensure and certification requirements).**

i.      **Temporarily modify provider qualifications.**

[Provide explanation of changes, list each service affected, list the provider type, and the changes in provider qualifications.]

ii.      **Temporarily modify provider types.**

[Provide explanation of changes, list each service affected, and the changes in the provider type for each service].

iii.      **Temporarily modify licensure or other requirements for settings where waiver services are furnished.**

[Provide explanation of changes, description of facilities to be utilized and list each service provided in each facility utilized.]

e.      **Temporarily modify processes for level of care evaluations or re-evaluations (within regulatory requirements).** [Describe]

**f. X Temporarily increase payment rates**

[Provide an explanation for the increase. List the provider types, rates by service, and specify whether this change is based on a rate development method that is different from the current approved waiver (and if different, specify and explain the rate development method). If the rate varies by provider, list the rate by service and by provider].

Beginning July 1, 2022: The State may make supplemental payments to qualified providers of Per Diem Home Support and Home Support-Residential Habilitation-Family Centered Support under ME.0159 using ARP funds. The supplemental payment will be based on 1.8% of State Fiscal Year (SFY) 2021 claims, or a more recent 12 contiguous months of claims if an HCBS provider did not have 12 months of claims in SFY 2021. These supplemental payments will be made between July 1, 2022 through September 30, 2022.

Additionally, The State is extending the deadline for service providers under ME.1082, ME.0995, ME.0276, ME.0159, and ME.0467 to make qualifying Bonus Payments to staff from the March 31, 2022 deadline in the Appendix K application approved January 6, 2022, to December 31, 2022. Moreover, the State is amending the provider requirements and attestations to reflect the payment date change from March 31, 2022 to December 31, 2022 as follows:

2. The Bonus Payments must be paid to staff by Provider Agencies between July 1, 2021 and **December 31, 2022**;

Finally, qualified providers must submit to the State a signed attestation form including the following:

3. The Provider Agency has paid the bonus between July 1, 2021 and **December 31, 2022**;

5. The Provider Agency agrees to provide a report to the Department by **January 31, 2023** that provides employee-level details as specified by the Department on a form provided by the Department;

9. The Provider Agency certifies, to the best of its knowledge, that any information provided to the Department regarding this initiative, including the report due on **January 31, 2023**, is a true, correct, and complete statement prepared from the books and records of the Provider Agency as of the date signed; and

The State retains all previously approved measures and seeks no other modifications to requirements regarding implementation of the Bonus Payments in Maine within the Appendix K previously approved by CMS on January 6, 2022.

**g. \_\_\_ Temporarily modify person-centered service plan development process and individual(s) responsible for person-centered service plan development, including qualifications.**

[Describe any modifications including qualifications of individuals responsible for service plan development, and address Participant Safeguards. Also include strategies to ensure that services are received as authorized.]

**h. \_\_\_ Temporarily modify incident reporting requirements, medication management or other participant safeguards to ensure individual health and welfare, and to account for emergency circumstances. [Explanation of changes]**

[Redacted]

i. **Temporarily allow for payment for services for the purpose of supporting waiver participants in an acute care hospital or short-term institutional stay when necessary supports (including communication and intensive personal care) are not available in that setting, or when the individual requires those services for communication and behavioral stabilization, and such services are not covered in such settings.**

[Specify the services.]

[Redacted]

j. **Temporarily include retainer payments to address emergency related issues.**

[Describe the circumstances under which such payments are authorized and applicable limits on their duration. Retainer payments are available for habilitation and personal care only.]

[Redacted]

k. **Temporarily institute or expand opportunities for self-direction.**

[Provide an overview and any expansion of self-direction opportunities including a list of services that may be self-directed and an overview of participant safeguards]

[Redacted]

l. **Increase Factor C.**

[Explain the reason for the increase and list the current approved Factor C as well as the proposed revised Factor C]

[Redacted]

m. **Other Changes Necessary [For example, any changes to billing processes, use of contracted entities or any other changes needed by the State to address imminent needs of individuals in the waiver program].** [Explanation of changes]

[Redacted]

## Contact Person(s)

A. **The Medicaid agency representative with whom CMS should communicate regarding the request:**

**First Name:** Thomas  
**Last Name** Leet  
**Title:** Long Term Services and Supports Manager  
**Agency:** Office of MaineCare Services  
**Address 1:** 109 Capitol St  
**Address 2:** Click or tap here to enter text.  
**City** Augusta  
**State** ME  
**Zip Code** 04333  
**Telephone:** 207.624.4068  
**E-mail** Thomas.leet@maine.gov  
**Fax Number** Click or tap here to enter text.

B. **If applicable, the State operating agency representative with whom CMS should communicate regarding the waiver is:**

**First Name:** Click or tap here to enter text.  
**Last Name** Click or tap here to enter text.  
**Title:** Click or tap here to enter text.  
**Agency:** Click or tap here to enter text.  
**Address 1:** Click or tap here to enter text.  
**Address 2:** Click or tap here to enter text.  
**City** Click or tap here to enter text.  
**State** Click or tap here to enter text.  
**Zip Code** Click or tap here to enter text.  
**Telephone:** Click or tap here to enter text.  
**E-mail** Click or tap here to enter text.  
**Fax Number** Click or tap here to enter text.

## 8. Authorizing Signature

**Signature:**

/s/

**Date:**

6/14/2022

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State Medicaid Director or Designee

**First Name:** Michelle  
**Last Name** Probert  
**Title:** Director  
**Agency:** Office of MaineCare Services  
**Address 1:** 109 Capitol Street  
**Address 2:** Click or tap here to enter text.  
**City** Augusta  
**State** ME  
**Zip Code** 04333  
**Telephone:** 207.287.2093  
**E-mail** [Michelle.probert@maine.gov](mailto:Michelle.probert@maine.gov)  
**Fax Number** Click or tap here to enter text.

## Section A---Services to be Added/Modified During an Emergency

Complete for each service added during a time of emergency. For services in the approved waiver which the state is temporarily modifying, enter the entire service definition and highlight the change. State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Specification					
Service Title:					
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>					
Service Definition (Scope):					
Specify applicable (if any) limits on the amount, frequency, or duration of this service:					
Provider Specifications					
Provider Category(s) (check one or both):	<input type="checkbox"/>	Individual. List types:		<input type="checkbox"/>	Agency. List the types of agencies:
Specify whether the service may be provided by (check each that applies):		<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian
<b>Provider Qualifications</b> (provide the following information for each type of provider):					
Provider Type:	License (specify)	Certificate (specify)	Other Standard (specify)		
Department approved provider agency					
Verification of Provider Qualifications					
Provider Type:	Entity Responsible for Verification:			Frequency of Verification	
Service Delivery Method					
Service Delivery Method (check each that applies):	<input type="checkbox"/>	Participant-directed as specified in Appendix E		<input type="checkbox"/>	Provider managed



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<sup>i</sup> Numerous changes that the state may want to make necessitate authority outside of the scope of section 1915(c) authority. States interested in changes to administrative claiming or changes that require section 1115 or section 1135 authority should engage CMS in a discussion as soon as possible. Some examples may include: (a) changes to administrative activities, such as the establishment of a hotline; (b) suspension of general Medicaid rules that are not addressed under section 1915(c) such as payment rules or eligibility rules or suspension of provisions of section 1902(a) to which 1915(c) is typically bound.