

THE CDDO SERVING COFFEY, OSAGE AND FRANKLIN COUNTIES
Policies and Procedures

SUBJECT: PRIOR AUTHORIZATION

EFFECTIVE: 12/1/14

SECTION: 503C

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SUPERCEDES 503B

DATED: 7/9/14; 10/13/14; 10/15/14

Policy:

The Community Developmental Disability Organization (CDDO) serving Coffey, Osage, and Franklin counties, through its local Prior Authorization procedure, shall ensure the impartial and effective use and/or distribution of funding for crisis or exception funding requests, as well as State Aid Funding Plan, as per the current KDADS-CDDO contract.

The Prior Authorization review will be comprised of all CDDO staff.

Procedure:

The Prior Authorization review ensures appropriate tracking and monitoring of service needs, as well as fulfilling the implement responsibilities of the CDDO in K.A.R. 30-64-22 by a review of the following: Home and Community Based Services (HCBS) waiver Integrated Service Plans (to ensure K.A.R. 30-64-23 Single Point of Application, Determination and Referral), 3161 or 3160 Form if HCBS funds are being initiated or terminated, provided by KDADS. Needs Assessment, Back-Up Plan, PCSP, Behavior Support Plans, and other supporting documentation required and/or requested by the CDDO shall accompany any crisis or exception request for new funding. Funding Plans for individuals whose services are paid through non-waiver funding sources such as County Mill Levy and State Aid shall be retained in Individual's secured CDDO Master file (initial, annual, revised or terminated). Funding Plans for individuals receiving services paid through a private pay agreement or other contract (initial, annual, revised or terminated) shall be retained in the Individual's secured CDDO Master file.

- 1) Any new funding will require Prior Authorization review approval through the Crisis Funding request review prior to sending recommendation for access to new services to KDADS and the MCO. Funding and/or service changes that requires review and approval by review are as follows:
 - a) Initial request for any new service for a person who does not currently receive HCBS funded services
 - b) Service Reviews
 - c) Crisis and/or Exception Funding Requests for people served who are new to the DD waiver as per the current KDADS-CDDO contract language.
 - d) Initial services for individuals being placed from a State Mental Retardation Hospital (SMRH) or Intermediate Care Facility/ Intellectual Disability (ICF/ ID) into the community setting. The CDDO will follow KDADS current policy and flowchart for Money Follows the Person for this funding.
 - e) Initial Needs Assessment
 - f) Terminated Plans of Care for file
 - g) Portability Agreements (In or Out) for file, as per KDADS-CDDO current contract.
 - h) All funding requests and reviews are subject to current KDADS-CDDO contract and KDADS policy.

- 2) Prior Authorization process reviews demographic information, frequency of services, and any changes in services, level of need, and special tier rate proposals. All Extraordinary Funding will follow the posted KDADS policy, contract, and flowchart on processing requests and managing this funding.

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Access to and management of HCBS Extraordinary Funding will be determined by the Prior Authorization review based on the current CDDO-KDADS policy and health and/or behavioral needs of the individual as demonstrated through the Extraordinary Funding Tool. All Extraordinary funding requests will be submitted to KDADS after being reviewed by the CDDO, or as current KDHE-KDADS-CDDO contract dictates. KDADS will have final approval of all such requests.

All non HCBS waiver Integrated Service Plans, or services requested from State Aid funding (basic access or emergent fund) will be presented to the Prior Authorization review for approval. State Aid funding approval requests will be subject to adherence of the taxonomy codes approved by KDADS through the Statewide Funding Committee.

- 3) Approved Plans of Care (now known as Integrated Service Plans or ISPs) and related documents will be sent to the CDDO from the Managed Care Organization (MCO), who will also provide copies of this document to the Targeted Case Manager, the individual receiving services, and the guardian of the individual (if applicable). The CDDO will maintain a copy of all approved and signed funding documents in the CDDO Master File for a period of five (5) years, or as stated in the current KDADS-CDDO contract.
- 4) The CDDO requires a current "Needs Assessment" to accompany any request for new Intellectual and/or Developmental (I/DD) HCBS waiver services through crisis or exception funding (as defined by current CDDO-KDADS contract) if Personal Assistant Services (PAS or in-home supports also known as Supportive Home Care or SHC) are being requested. A documented "need" for new services does not guarantee access to or approval for these services. In the event that the request for new funding (through crisis or exception funding as defined by contract) is denied, justification will be provided to the Targeted Case Manager, the individual, and their guardian (if applicable) in writing by the CDDO. The individual will have an opportunity to appeal the decision through the Dispute Resolution Process (CDDO Policy #545A Dispute Resolution), and the appeal process will be included with the justification letter. Final approval of all CDDO approved crisis funding requests and/or exception funding requests is contingent on KDADS review and approval.