



STATE OF DELAWARE  
**STATE COUNCIL FOR PERSONS WITH DISABILITIES**

MARGARET M. O'NEILL BUILDING  
410 FEDERAL STREET, SUITE 1  
DOVER, DE 19901

VOICE: (302) 739-3620  
TTY/TDD: (302) 739-3699  
FAX: (302) 739-6704

**MEMORANDUM**

DATE: April 30, 2014

TO: Ms. Sharon L. Summers, DMMA  
Planning & Policy Development Unit

FROM: Daniese McMullin-Powell, Chairperson  
State Council for Persons with Disabilities

RE: 17 DE Reg. 950 [DMMA/DDDS Proposed HCBS Medicaid Waiver Renewal Regulation]

The State Council for Persons with Disabilities (SCPD) has reviewed the Department of Health and Social Services' Home and Community-Based Services Waiver renewal application published as 17 DE Reg. 950 in the April 1, 2014 issue of the Register of Regulations. As background, on February 28, 2014, the Division of Developmental Disabilities Services (DDDS) forwarded a notice to the SCPD and other agencies that its draft waiver renewal was available for review on its website. The renewal document noted that DDDS intended to submit the renewal application to CMS during the week of March 10. Given the short timetable, SCPD submitted comments on an expedited basis. The Department has now published the waiver renewal as a proposed regulation with a 30-day comment period. Since the content of the waiver renewal has not changed, SCPD is providing the attached March 12<sup>th</sup> memorandum supplemented by the following observations. Please review these documents carefully since the attached April 17<sup>th</sup> response from DHSS/DMMA is confusing as it attempts to address SCPDs previous March 12<sup>th</sup> comments even though it specifically references "the DD Council". The Division appears to have "mixed-up" its responses with the intended councils and, in any event, does not address the following observations.

In Par. 4, SCPD objected to changing the minimum age of eligibility from 4 to 12 for a variety of reasons. As a supplement, SCPD is reminding DHSS that it was prompted to terminate the license and contract of a major DDDS provider on an expedited basis when an investigation team issued a report documenting numerous violations of standards. See Growth Horizons v.

Nazario, No. 1:94-cv-00132-RRM (D. Del. August 9 1994) (Stipulation). Expedited termination of a DHSS or ICT-funded pediatric provider could recur, resulting in the need to provide alternative residential services quickly. If children under 12 are ineligible for the waiver, DHSS would have no available waiver-funded placement options, including shared living, group homes, and emergency temporary living arrangements (ETLAs). Eliminating waiver eligibility of children between age 4 and 12 would also undermine implementation of the attached DDDS-DSCY&F MOU. For example, Section II.B.2 contemplates the availability of DDDS foster home/shared living placements for eligible children requiring residential services due to abuse, neglect or dependency. Licensed foster home/shared living arrangements are covered by the DDDS waiver.

In Par. 11, SCPD suggested that DHSS consider adding levels of care apart from ICF/IID. The Council observed that the DDDS census listed 37 DDDS clients in nursing homes. As a supplement, SCPD notes that DHSS, while funding pediatric nursing home care, has historically confirmed its commitment to “make every effort to support a child’s needs in a community setting if they can be met”. See DHSS commentary at 11 DE Reg. 312 (9/1/07):

The placing of children in any nursing facility needs to be an option for Medicaid eligible children in Delaware. Some children have needs that must be addressed in an inpatient nursing care facility. Medicaid will make every effort to support the client’s needs in a community setting if they can be met. Delaware is fortunate to be able to offer inpatient nursing care facility services to its citizens within Delaware. Previously, Delaware children who required these services had to be placed out-of-state.

It would facilitate diversion from pediatric nursing facility placement, and transition from nursing facility placements, if pediatric waiver-funded residential options were available. DHSS could therefore consider listing both ICF/IID and nursing level of care in the waiver.

In summary, SCPD is resubmitting its earlier commentary plus the above supplemental remarks. Thank you for your consideration and please contact SCPD if you have any questions or comments regarding our observations on the proposed regulation.

cc: The Honorable Melanie Smith  
The Honorable Debra Heffernan  
Ms. Rita Landgraf  
Mr. Stephen Groff  
Ms. Jane Gallivan  
Mr. Daniel Chappell  
Ms. Eddi Ashby  
Mr. Glyne Williams,  
Ms. MaryAnn Mieczkowski  
Ms. Susan Cycyk

Ms. Marie Nonnenmacher  
Ms. Carey Hocker  
Mr. Brian Hartman, Esq.  
Mr. Terry Olson, The Arc of Delaware  
Ms. Teresa Avery, Autism Delaware  
Ms. Sharon Lyons, BIAD  
Mr. Tony Horstman, DDDS Advisory Council  
Mr. Brian Hartman, Esq.  
Governor's Advisory Council for Exceptional Citizens  
Developmental Disabilities Council

17reg950 dmma-HCBS medicaid waiver renewal 4-30-14

## Hodges, Kyle (DSHS)

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**From:** Hodges, Kyle (DSHS)  
**Sent:** Wednesday, March 12, 2014 6:26 PM  
**To:** Landgraf, Rita (DHSS); Groff, Stephen (DHSS); Gallivan, Jane (DHSS); Chappell, Daniel (DHSS); Ashby, Eddi (DHSS)  
**Cc:** Smith, Melanie G (LegHall); Heffernan, Debra (LegHall); Nonnenmacher, Marie (DHSS); Long, Christine (DHSS); Brian Hartman (bhartman@declassi.org); 'tolson@thearcofdelaware.org'; 'teresa.avery@delautism.org'; Sharon Lyons; Tony Horstman (tonyhorstman@comcast.net); Maichle, Pat (DSHS); Strauss, Wendy (K12)  
**Subject:** SCPD Comments on DDDS HCBS Waiver  
**Attachments:** HCBS waiver comments 3-12-14.pdf

Hello – attached are SCPDs comments on the DDDS HCBS Waiver.

Thank you.

Kyle Hodges  
State Council for Persons with Disabilities  
410 Federal Street – Suite 1  
Dover, DE 19901  
Phone: (302) 739-3620  
Email: [Kyle.Hodges@state.de.us](mailto:Kyle.Hodges@state.de.us)  
Website: <http://scpd.delaware.gov>



STATE OF DELAWARE  
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MARGARET M. O'NEILL BUILDING  
410 FEDERAL STREET, SUITE 1  
DOVER, DE 19901

VOICE: (302) 739-3620  
TTY/TDD: (302) 739-3699  
FAX: (302) 739-6704

MEMORANDUM

DATE: March 12, 2014

TO: Ms. Rita Landgraf, Cabinet Secretary  
Mr. Stephen Groff, DMMA Director  
Ms. Jane Gallivan, DDDS Director  
Mr. Daniel Chappell, DMMA Social Services Administrator  
Ms. Eddi Ashby, DDDS HCBS Waiver Manager

FROM: Daniese McMullin-Powell, Chairperson  
State Council for Persons with Disabilities

RE: DDDS HCBS Waiver Renewal

The State Council for Persons with Disabilities (SCPD) has reviewed the Department of Health and Social Services/Division of Developmental Disabilities Services' (DDDS) application to CMS for a §1915(c) Home and Community-Based Services Waiver. The DDDS forwarded a notice to the Council and other agencies on February 28, 2014 that its draft waiver renewal was available for review on its website. SCPD has the following observations based on the 153-page version printed from the DDDS website.

1. SCPD is concerned with the truncated opportunity for comment. The "Public Input" section (p. 8) recites that DDDS will publish notice of the renewal in the Register of Regulations and establish a 30-day comment period. In contrast, no notice has appeared in the Register of Regulations and the February 28 notice emailed to the SCPD offers only a 2-week comment period since DDDS plans to submit its application during the week of March 10. In practice, DHSS submits its proposed waivers to the Register with at least a 30-day comment period. Compare 17 Del. Reg. 156 (August 1, 2013); 17 DE Reg. 688 (January 1, 2014); and 17 DE Reg. 930 (March 1, 2014).
2. Delaware DHSS has included participant direction into its recent waiver initiatives, including personal care/attendant services in both the "Pathways to Employment" waiver [17 DE Reg. 688 (January 1, 2014) and the Diamond State Health Plan Plus waiver [16 DE Reg. 1140 (May 1, 2013)]. CMS explicitly encourages states to include participant direction in their waivers:



CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both. CMS will confer the Independence Plus designation when the waiver evidences a strong commitment to participant direction.

At 91. The first explicit objective for the DDDS waiver is to “(p)romote independence for individuals enrolled in the waiver...”. At 4.

In contrast, DDDS certifies (p. 90) that “(t)his waiver does not provide participant direction opportunities.” This rejection of participant direction opportunities is reiterated throughout the document. See, e.g., pp. 5, 41, and 43.

The rejection of participant direction opportunities is an anachronism and SCPD is extremely concerned that the waiver does not provide participant direction opportunities.

3. The DDDS eligibility regulation [16 DE Admin Code 2100] includes individuals with brain injury. In contrast, the waiver contains zero (0) references to brain injury. It explicitly covers (p. 20) persons with intellectual developmental disability, autism spectrum disorder, and Prader Willi Syndrome. This is for alarm, particularly among proponents of services for individuals with brain injury who are being manifestly omitted from waiver coverage.

4. DDDS proposes (p. 20) no upper or maximum age limit for participants. However, although the current waiver covers children ages 4 and up, DDDS proposes (pp. 1 and 20) to restrict eligibility to children age 12 and older. This is objectionable and short-sighted for several reasons.

A. Historically, DDDS has offered shared living/foster care for children with families with special interest and expertise in caring for individuals with developmental disabilities. If approved, DDDS could no longer pay for this service on behalf of children under age 12 with the federally subsidized waiver funds.

B. The attached DDDS enabling statute [Title 29 Del.C. §7909A] imposes a “duty” to provide “foster care placements”, “neighborhood homes”, and “supported living” without any exclusions based on age. In the absence of a statutory authorization to discriminate based on age, DDDS cannot limit its services to certain age groups without violating the Age Discrimination Act and its implementing regulations. When the Division adopted a policy of excluding minors from its group home system in the past, it was “prompted” to settle an HHS OCR complaint by rescinding the policy. See attachments. Cf. attached OCR directive to Division of Public Health that presumptive age limit for nursing home admission violates Age Discrimination Act and attached DSAAPD letter to DFS successfully challenging age limit on foster parents based on Age Discrimination Act. If CMS approves the age restriction in the waiver, DDDS will still have to provide residential and other waiver services to children under age 12. It will simply have to do so with no federal Medicaid match.

C. The DDDS enabling statute [§7909( c)(4)] requires DDDS to provide early intervention services to children ages 0-3. Early intervention services under the DHSS implementation of IDEA-Part C include a lengthy list of supports and services. See, e.g. Title 16 Del.C. §212. Moreover, some children with developmental disabilities are eligible for IDEA-Part B at birth. The Interagency Collaborative Team (ICT) [Title 14 Del.C. §3124] could prompt DDDS to provide residential programming to such children. If the children are ineligible for the waiver based on age, DDDS will have to provide residential services solely with state funds.

D. In the past, DDDS investigated systemic neglect of young children with developmental disabilities in a nursing facility (Harbor Health). See attached News Journal articles. The availability of waiver-funded residential options on an emergency basis would be an important resource if such a situation recurred. If the Division “ties its hands” by excluding pre-teens from the waiver, it loses capacity to address this type of situation.

5. Although the waiver document (p. 69) generally suggests that the “State does not impose a limit on the amount of waiver services”, the State imposes (pp. 55-56) an absolute weekly cap of forty (40) hours on supported living. The effect will be “creaming”, i.e., only individuals with modest to mild needs will be able to live in supported apartments or their own homes since support services are capped. Perhaps this is why DDDS projects 825 waiver participants in group homes and only 30 participants in supported living in the first year of implementation. See pp. 148-149. The absolute cap on supported living undermines “choice” and the recently published CMS policy preference for provision of waiver services in integrated settings [79 Fed. Reg. 2948 (January 16, 2014)]. The revised CMS regulation [42 C.F.R. 441.745; 79 Fed Reg at 3038] recites that “a State may not limit access to services based upon....the cost of services.”

6. The waiver document recites that shared living providers offer residential habilitation services and “are paid at the Medicaid rate for the hours of support they provide up to a maximum of the support hours indicated by the member’s ICAP score.” At p. 139. It is unclear if there is an absolute cap on payment under the ICAP system. If there is a cap, this may limit “choice” and the ability of high-need individuals to avoid institutional placement.

7. The waiver document (p. 59) contains the following description of neighborhood group homes: “Each resident must have their own bedroom unless they express a preference to share a room”. This is of questionable accuracy. The DDDS neighborhood regulation [16 DE Admin Code 3310, §8.0] does not contain such a standard. Parenthetically, private rooms must be an available option in waivers based on a participant’s choice. See 79 Fed Reg at 2964.

8. The waiver document authorizes relatives to serve as providers of both “shared living” and “supported living” services. See pp. 2, 55-56 and 61. The CMS templates allows the State to authorize “guardians” to serve as providers as well. Id. However, DHSS has rejected this option. Id. This is unfortunate for several reasons.

A. Other DHSS programs do not bar provision of services by guardians. DDDS has suggested that, in the common situation in which parents are co-guardians of an adult child, a Chancery

Court petition could be filed to remove one parent as guardian so the “removed” parent could qualify as a waiver service provider. This is a rather byzantine approach.

B. DDDS has experienced great difficulty in promoting relatives to petition for guardianship when necessary. The exclusion of guardians from serving as waiver providers will simply provide an additional disincentive to relatives considering pursuit of guardianship.

C. One of the purposes of the waiver is to “promote the engagement of family ...supports whenever possible.” At p. 4. This objective is undermined by the ban on guardian providers.

9. SCPD believes DDDS has approved a parent to serve as a prevocational service provider. The waiver document would apparently disallow any relative from serving as a prevocational provider since the “check-off” for relatives is blank. See p. 43. Likewise, a relative could not provide individual supported employment. See p. 49.

10. The qualifications for a DDDS case manager are “meager”. See p. 70. A high school diploma is not even necessary.

11. Although there is one outlier reference to diversion from a nursing facility, the waiver generally adopts an ICF/IID level of care standard. See pp. 3, 20, 31, and 147. Since some waiver participants could lack an intellectual disability (e.g. DDDS autism eligibility regulation does not require intellectual deficit), the State could consider multiple level of care settings for inclusion in the waiver. For example, the attached December, 2013 DDDS census report lists 37 DDDS clients in nursing homes.

12. The waiver document contains multiple recitals that the waiver will limit services to participants to those “not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA)...”. See pp. 7, 47, and 49. This may contravene federal law. See attachments. See also 34 C.F.R. §303.222.

13. The section on restraints (pp. 100 and 103) is not entirely accurate. It recites that the sole standard applied by providers is “Mandt” protocols which limit personal restraints to “the one and two person side body hug and the one and two arm supporting technique.” In practice, DDDS has recently authorized some providers (e.g. AdvoServ) to use non-Mandt approved “supine” restraint.

14. The description of case manager activities in connection with ELP development (pp. 71-72) appear to be either inflated or hortatory. The document describes robust pre-planning activities beginning months prior to the actual ELP meeting.

15. The waiver previously included reporting to CMS on the offer of choice between institutional and waiver services. DDDS proposes to delete the reporting while continuing to “track” data. See pp. 2 and 6. This is unfortunate since the election is “key” to a central purpose of the waiver, i.e., to divert individuals from institutions. It would be preferable to maintain data



reporting to CMS in this context.

16. CMS requires the State to project the number of participants in the waiver. See 42 C.F.R. 441.745 amended by 79 Fed Reg. 2948, 3038 (January 16, 2014). The reported authorized number of participants in the waiver may be too low. In year 1, DDDS envisions 1,000 participants. See pp. 22-23 and 147. SCPD assumes this covers the period from July 1, 2014 to June 30, 2015. In contrast, the attached DDDS December, 2013 monthly census report lists 992 clients already receiving community-based residential services. SCPD suspects this number will exceed 1,000 prior to the inception of the waiver.

17. The waiver contains “quality” measures which focus on “safety” and absence of abuse/neglect. See pp. 112-119. The waiver would benefit from some measures assessing satisfaction with services and quality of life.

18. DHSS may need to amend its HCBS waiver standards to include safeguards related to leases and protection from eviction. See 42 C.F.R. §441.530 [revised by 79 Fed. Reg. 3032 (January 16, 2014)] and commentary at 79 Fed Reg. 2960-61.

19. The waiver document (p. 25) contains a countable income cap of 250% of the SSI Federal Benefit Rate (FBR). The State could have elected a “300%” standard. SCPD encourages adoption of the higher benchmark.

Thank you for your consideration and please contact SCPD if you have any questions or comments regarding our observations on the DDDS HCBS waiver.

cc: The Honorable Melanie Smith  
The Honorable Debra Heffernan  
Ms. Marie Nonnenmacher  
Ms. Chris Long  
Mr. Brian Hartman, Esq.  
Mr. Terry Olson, The Arc of Delaware  
Ms. Teresa Avery, Autism Delaware  
Ms. Sharon Lyons, BIAD  
Mr. Tony Horstman, DDDS Advisory Council  
Governor’s Advisory Council for Exceptional Citizens  
Developmental Disabilities Council

DDDS/HCBS waiver comments 3-12-14

## **Renewal of the DDDS Home and Community Based Waiver**

### **RENEWAL APPLICATION NOW AVAILABLE FOR REVIEW**

The Home and Community Based Waiver program allows the Division of Developmental Disability services to offer community based services to individuals with intellectual disabilities in lieu of institutional services.

The renewal application for the DDDS Medicaid Home and Community Based Waiver is now posted on the DDDS website at the following link:

[http://dhss.delaware.gov/dhss/ddds/renewal\\_medicaidwaiver.html](http://dhss.delaware.gov/dhss/ddds/renewal_medicaidwaiver.html)

Public Meetings will be held during the week of March 3<sup>rd</sup>. The dates and locations of the meetings are listed below and are published on the DDDS website at the link for the Waiver Renewal Application. Copies of the application are also available for view at the Fox Run Office in Bear, the Woodbrook Office at 1056 S Governor's Ave in Dover and the Stockley Center Community Services Administrative Office in Georgetown. The application will be submitted to CMS at the conclusion of the public hearings not later than the end of the week of March 10<sup>th</sup>.

This notice is to alert you to **SAVE THE DATE.**

#### **New Castle County Public Meeting**

Date: March 3, 2014  
Time: 4 p.m. – 6 p.m.  
Location: DDDS Fox Run Site  
2540 Wrangle Hill Road  
Bear, DE 19701  
Large Training Room  
302.836.2100

#### **Sussex County Public Meeting**

Date: March 4, 2014  
Time: 4 p.m. – 6 p.m.  
Location: Georgetown Public Library  
123 Pine Street  
Georgetown, DE 19947  
Large Meeting Room  
302.856.7958

#### **Kent County Public Meeting**

Date: March 6, 2014  
Time: 4:30 p.m. – 6 p.m.  
Location: Dover Public Library  
35 Loockerman Plaza  
Dover, DE 19901  
Multi-Purpose Room "B"  
302.736.5025

**§ 7909A Division of Developmental Disabilities Services.**

(a) There is hereby established the Division of Developmental Disabilities Services under the direction and control of the Secretary of the Department of Health and Social Services.

(b) The mission of the Division of Developmental Disabilities Services is to provide services and supports to individuals with developmental disabilities and their families which enable them to make informed choices that lead to an improved quality of life and meaningful participation in their communities.

(c) The Division of Developmental Disabilities Services shall have the following powers and duties:

(1) Provide community-based services including family supports, advocacy, foster care placements, respite, neighborhood homes, supported living, vocational and supported employment opportunities and day habilitation services;

(2) Provide case management, nursing, behavioral services, therapy and other professional supports needed to assist individuals in achieving their goal(s);

(3) Provide early intervention services to families so as to prevent or minimize developmental delays in children at risk who are ages 0-3; and

(4) Provide intermediate care facility residential services.

(d) The Division of Developmental Disabilities Services shall ensure the investigation of complaints of abuse, neglect, mistreatment and financial exploitation. Such investigations may be in coordination with the Attorney General's Office, law enforcement or other appropriate agencies.

(e) The Division of Developmental Disabilities Services shall be authorized to promulgate rules and regulations to implement this statute.

60 Del. Laws, c. 677, § 2; 73 Del. Laws, c. 97, § 6[5]; 78 Del. Laws, c. 179, § 315.;

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
REGION III  
3535 MARKET STREET  
PHILADELPHIA, PENNSYLVANIA

OFFICE OF THE SECRETARY  
OFFICE FOR CIVIL RIGHTS  
MAILING ADDRESS:  
P.O. BOX 13716  
PHILADELPHIA  
PENNSYLVANIA 19101

Our Reference: . 03863006

DEC 13 1986

Mr. Brian J. Hartman  
Disabilities Law Program  
Community Legal Aid Society, Inc.  
913 Washington Street  
Wilmington, Delaware 19801

Dear Mr. Hartman:

On November 24, 1986, we received your request to withdraw your complaint against the Department of Health and Social Services (DHS). Specifically, your complaint related to group-home services for mentally retarded persons under age eighteen under the authority of the Age Discrimination Act of 1975 and its implementing Regulation, 45 CFR Part 91.

It is our understanding that the assurances outlined in the agency's November 12, 1986 letter to you, satisfactorily resolve the issues relating to the complaint. The agency has provided its policy of non-discrimination on the basis of age and its assurance that it does not exclude the participation of persons under age eighteen in its group-home services. In addition, the agency will provide you with periodic reports, within the next year, regarding its clients under age eighteen.

We have informed DHS that our office will require copies of all periodic reports sent to you. These submissions will be due to us at the same time as they are sent to you. We have also advised the agency that if the information indicates disparity in the age of the clients served, we may re-open your complaint for a formal investigation.

We do appreciate your efforts in resolving this complaint informally and we are hopeful that the agency will continue to be cooperative in adhering to their assurances. If you have any questions, please contact Ms. Barbara Banks, Director, Investigations Division, at (215) 596-6173.

Sincerely yours,

*Paul F. Cushing*  
Paul F. Cushing  
Regional Manager





STATE OF DELAWARE  
DEPARTMENT OF HEALTH AND SOCIAL SERVICES  
DIVISION OF MENTAL RETARDATION  
802 SILVER LAKE BOULEVARD  
ROBBINS BUILDING  
DOVER, DELAWARE 19901

OFFICE OF THE  
DIRECTOR

TELEPHONE: (302) 736-4386

November 12, 1986

Brian J. Hartman, Esquire  
Community Legal Aid Society, Inc.  
913 Washington Street  
Wilmington, DE 19801

Re: Residential Services for Mentally Retarded Minors

Dear Brian:

This is to confirm that the Department of Health and Social Services, Division of Mental Retardation (DMR) does not now, nor has it, violated 45 C.F.R. Part 90 in DMR's provision of community-based residential services.

Enclosed is a copy of a memorandum circulated to the Intake Committee at DMR, dated September 19, 1986. This memorandum confirms our policy of nondiscrimination.

The DMR Intake Committee will actively consider [redacted] for placement in a group home setting consistent with his needs. DMR is not compelled by this letter, however, to determine that [redacted] is an appropriate candidate for admission to a group home.

[redacted] will continue to be actively considered as one of a group of priority candidates for a community placement commensurate with [redacted] s needs.

Within one month of the date of this letter, DMR will forward to you the following non-identifying information: the total number of non-adults presently in DMR ICF/MR and neighborhood group home settings, specifying dates of birth and identity of group home in which each such non-adult resides.

Finally, within six months and one year from the provision of the above data, DMR will forward to you the following non-identifying information:

a. the total number of non-adults applying for placement in DMR ICF/MR and neighborhood group homes within the preceding six months; specifying dates of birth and action taken on each application;



Brian J. Hartman, Esquire  
November 12, 1986

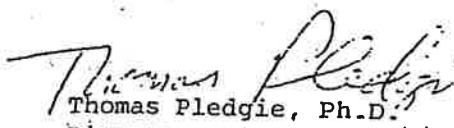
Page 2

b. the total number of non-adults in DMR ICF/MR and neighborhood group homes as of the respective dates, specifying dates of birth and identity of group home in which each such non-adult resides.

The terms of this letter are conditional upon your withdrawing the complaint in this matter.

Should there be material noncompliance with the representations in this letter, DMR understands that the complaint may be reopened until August 24, 1988, and that DMR waives its right to have such complaint heard in the first instance at the federal mediator level.

Very truly yours,



Thomas Pledgie, Ph.D.  
Director, Division of Mental Retardation

TP:twr

Enclosure

Susan Kirk-Ryan  
Paul Cushing

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
REGION III  
3636 MARKET STREET  
PHILADELPHIA, PENNSYLVANIA

OCT 18 1981

Office of Health Facilities  
OFFICE OF THE SECRETARY  
OFFICE FOR CIVIL RIGHTS  
MAILING ADDRESS:  
P.O. BOX 13716  
PHILADELPHIA  
PENNSYLVANIA 19181

OCT 11 1981

Mr. James E. Harvey  
Director  
Delaware Department of Health and  
Social Services  
Division of Public Health  
Office of Health Facilities Licensing  
and Certification  
3000 Newport Gap Pike  
Wilmington, Delaware 19808

Dear Mr. Harvey:

The Office for Civil Rights has completed its review of Delaware's Nursing Home Regulations for Skilled Care. Our analysis of the State's Regulations and determination regarding the Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973 are as follows:

Section 57.3 - General Requirements

57.3 - An institution shall not admit any person under the age of fifteen (15) years of age as a patient unless approved by the State Board of Health.

Analysis

The Age Discrimination Act of 1975 and its implementing Regulation at 45 CFR Part 91, Subpart B Section 91.11(a) states that "No person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity receiving Federal financial assistance". Further, Section 91.11(b)(1) and (2) prohibits a recipient from using age distinctions which have the effect, on the basis of age, of excluding individuals from, or denying them the benefits of, or subjecting them to discrimination, under a program or activity receiving Federal financial assistance; denying or limiting individuals in their opportunity to participate in any Federally assisted program.

A recipient is permitted to take an action prohibited by Section 91.11 only if the action reasonably takes into account age as a factor necessary to the normal operation or the achievement of any statutory objective of a program or activity.

#### Determination

It is our preliminary determination that Section 57.3 of the State's Regulations violates the Age Discrimination Act of 1975 and 45 CFR Part 91 Subpart B Section 91.11.

Unless the State Agency can show that its age distinction is necessary to the normal operation of a nursing home or the achievement of a statutory objective, the age distinction must be removed. Please refer to 45 CFR Sections 91.13, 91.14 and 91.15.

It is my understanding that the State Board of Health may, on a case-by-case basis, consider an application for admission to a nursing home from someone under the age of fifteen. However, if the applicant's age and not the medical condition is the reason for this case-by-case review, then it is probable that this action violates the Age Discrimination Act.

#### Remedy

If your age distinction does not meet the criteria set forth at 45 CFR Sections 91.13 and 91.14, you may voluntarily resolve this deficiency by deleting from your Nursing Home Regulations any reference to an age criterion. You may also notify the public as well as all skilled care nursing facilities of this change in policy.

#### Section 57.8 - Services to Patients

##### 57.809 Mental Illness

A. Patients who are, or become, mentally ill and who may be harmful to themselves or others, shall not be admitted or retained in a nursing home.

#### Analysis

Section 504 of the Rehabilitation Act of 1973 and its implementing Regulation 45 CFR Part 84 prohibit discrimination on the basis of handicap in any program or activity receiving Federal financial assistance. Section 84.3 of 45 CFR defines a handicapped person as one who (1) has a physical or mental impairment which substantially limits one or more major life activities; (2) has a record of such an impairment; or (3) is regarded as having such an impairment.

Specifically 45 CFR Section 84.4 provides that no qualified handicapped person shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from Federal financial assistance.

The State Agency may not, solely by reason of the presence or history of handicapping condition (mental illness), deny admission to a nursing home. For purpose of admission to a nursing home, a facility must admit one who is a qualified handicapped person, i.e., meets the essential eligibility criteria and requires the same type of medical or related services that are normally provided. Thus, Section 504 prohibits recipients from categorically excluding persons with mental impairments, as is specified in the State's Regulations at 57.809.

However, a recipient may take into account the behavioral manifestations of the mental impairment in determining whether one is a qualified handicapped individual. If the manifestations are such that the person no longer meets the basic eligibility requirements for the receipt of services or cause substantial interference with the operation of the program (be harmful to self or others), the condition may be taken into consideration.

Conditions such as Alzheimers Disease may be considered a mental impairment under the definition of handicapping condition; however the presence of this condition and its manifestations may in no way render one ineligible for the receipt of services normally provided. However, if there is adherence to State Regulations, one with this disease may not be admitted nor retained in a nursing home, which could violate 45 CFR Part 84.

#### Determination

It is our preliminary determination, based upon the preceding discussion, that Section 57.809 as written violates Section 504 of the Rehabilitation Act and its implementing Regulation 45 CFR Section 84.4 and Section 84.52 (a)(1).

#### Remedy

In order to voluntarily resolve this deficiency, we suggest you delete "who are, or become mentally ill and" from the paragraph at 57.809A. Please disseminate the revisions to the public, referral sources and the State's skilled care facilities.

For your reference, we have enclosed a copy of each of the pertinent Regulations.



Page 4 - James E. Harvey

Please advise us of your plans to correct these deficiencies. We would appreciate a response by November 12, 1985.

If you need technical assistance or if you should have any comments or questions, please contact Ms. Barbara Banks, Director, Investigations Division, at (215) 596-6173.

We appreciate your continuous cooperation.

Sincerely yours,



Paul F. Cushing, Regional Manager  
Office for Civil Rights  
Region III

Enclosures

WPC



CHARLES M. O'BRYEN III  
ATTORNEY GENERAL

STATE OF DELAWARE  
DEPARTMENT OF JUSTICE  
STATE OFFICE BUILDING  
820 N. FRENCH STREET, 8TH FLOOR  
WILMINGTON, DELAWARE 19801

DIRECT DIAL: 571-2

July 8, 1986

Mr. Paul F. Cushing  
Regional Manager  
Office for Civil Rights  
Region III  
P.O. Box 13716  
Philadelphia, PA 19101

Re: Delaware's Nursing Home Regulations for Skilled Care

Dear Mr. Cushing:

Please be advised that effective June 1, 1986, Sections 57.809 and 57.3 of Delaware's Nursing Home Regulations for Skilled Care have been deleted. Notice of this deletion is being sent to all licensed providers. I have enclosed a copy of the May 2, 1986 minutes for your information.

As I have previously advised your office, it remains the position of the Delaware State Board of Health that there has been no discrimination based on age or mental illness and that these sections were promulgated to assist in the appropriate care and placement of clients. The Board has determined that these needs can be met through inspections by Health Facilities Licensing and Certification.

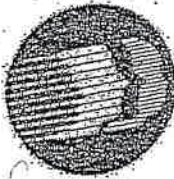
If you have any further questions, please contact me.

Very truly yours,

*Patricia M. Furlong*  
Patricia M. Furlong  
Deputy Attorney General

PMF/rd  
Encl.

Xc: Hon. Thomas P. Eichler, Secretary  
Lyman J. Olsen, M.D.  
James E. Harvey



**DELAWARE HEALTH  
AND SOCIAL SERVICES**

DIVISION OF SERVICES FOR AGING AND  
ADULTS WITH PHYSICAL DISABILITIES

MEMORANDUM

DATE: January 8, 2014  
TO: Ms. Elizabeth Timm  
Division of Family Services  
FROM: William Love, Director *W Love*  
RE: 17 DE Reg. 608 (DFS Proposed Child Placing Agency Regulation)

The Division of Services for Aging and Adults with Physical Disabilities (DSAAPD) reviewed the proposed regulations regarding the *Delaware Requirements for Child Placing Agencies* as published as 17 DE Reg. 608 in the December 1, 2013, issue of the Register of Regulations. DSAAPD is concerned regarding:

- §95.1: a licensee shall require that a foster parent applicant or approved foster parent is between twenty-one (21) years and sixty-five (65) years of age, and
- §95.1.1: a licensee may, at his or her own discretion, make exceptions to the above Regulation when the licensee documents that the health, safety and well-being of a child would not be endangered.

I question the need and applicability of categorically barring anyone over 65 from becoming a foster parent simply due to his or her age. I also believe the age limit may be inconsistent with the Federal Age Discrimination Act. I recommend the regulations remove the age limit. Barring an applicant from becoming an approved foster parent should be based on an assessment which includes criteria specific to placement needs of the child and not based on an arbitrary age limit of 65.

Thank you for the opportunity to comment.

cc: Ms. Vicky Kelly, DSCYF  
Mr. Brian Posey, AARP  
Mr. Brian Hartman, Esq., CLASI  
Ms. Daniese McMullin-Powell, DMMA  
Ms. Pat Maichle, DDC  
Ms. Jeanne Nutter, AARP





## KNOW ABOUT THE FEDERAL LAW THAT PROTECTS AGAINST AGE DISCRIMINATION

### What is the Age Discrimination Act?

The Age Discrimination Act of 1975 is a national law that prohibits discrimination on the basis of age in programs or activities receiving federal financial assistance. The Age Discrimination Act applies to persons of all ages. Under the Age Act, recipients of federal financial assistance may not exclude, deny or limit services to, or otherwise discriminate against, persons on the basis of age.

The Age Act does not cover employment discrimination, which is enforced by the Equal Employment Opportunity Commission (EEOC).

The Office for Civil Rights (OCR), at the U.S. Department of Health and Human Services (HHS), ensures that entities that receive federal financial assistance comply with this law.

The Age Discrimination Act contains certain exceptions that allow, under limited circumstances, the use of age distinctions or factors other than age. For example, the Age Discrimination Act does not apply to an age distinction contained in a Federal, State or Local statute or ordinance adopted by an elected, general purpose legislative body that: provides any benefits or assistance to persons based on age; establishes criteria for participation in age-related terms; or describes intended beneficiaries or target groups in age-related terms.

Office for Civil Rights  
U.S. Department of Health  
and Human Services  
200 Independence Avenue, SW  
H.H.H. Building, Room 503-F  
Washington, D.C. 20201

TELEPHONE  
1-800-368-1019

E-MAIL  
ocrmail@hhs.gov

TDD  
1-800-537-7697

[www.hhs.gov/ocr](http://www.hhs.gov/ocr)

## How to file a complaint of discrimination with the Office for Civil Rights (OCR)

If you believe that you or someone else has been discriminated against because of age by an entity receiving financial assistance from HHS, you or your legal representative may file a complaint with OCR. Complaints must be filed within 180 days from the date of the alleged discrimination.

You may send a written complaint or you may complete and send OCR the Complaint Form available on our webpage at [www.hhs.gov/ocr](http://www.hhs.gov/ocr). The complaint form is also available on our webpage in a number of other languages under the Civil Rights Information in Other Languages section.

The following information must be included:

- Your name, address and telephone number.
- You must sign your name on everything you write. If you file a complaint on someone's behalf — e.g., spouse, friend, client, etc. — include your name, address, telephone number, and statement of your relationship to that person.
- Name and address of the institution or agency you believe discriminated.
- When, how and why you believe discrimination occurred.
- Any other relevant information.

If you mail the complaint, be sure to send it to the attention of the regional manager at the appropriate OCR regional office. OCR has ten regional offices and each regional office covers specific states. Complaints may also be mailed to OCR Headquarters at the following address:

Office for Civil Rights  
U.S. Department of Health and Human Services  
200 Independence Avenue, SW.  
H.H.H. Building, Room 509-F  
Washington, D.C. 20201

### To learn more:

Visit us online at [www.hhs.gov/ocr](http://www.hhs.gov/ocr)

Call us toll-free at 1-800-368-1019

Email us: [ocrmail@hhs.gov](mailto:ocrmail@hhs.gov)

TDD: 1-800-537-7697

Language assistance services for OCR matters are available and provided free of charge. OCR services are accessible to persons with disabilities.

[www.hhs.gov/ocr](http://www.hhs.gov/ocr)



## AROUND DELAWARE

### Harbor Healthcare settles U.S., Del. lawsuit

The United States and Delaware reached a \$150,000 settlement with Harbor Healthcare and Rehabilitation Center in Lewes related to allegations that care provided to children from 1998 through 1999 was inadequate. U.S. Attorney for Delaware Colm F. Connolly and Delaware Attorney General M. Jane Brady alleged Harbor submitted false claims to the government for payment since much of the care of a number of severely disabled children was inadequate. The government also alleged the center was understaffed and not properly trained. A lump sum of \$120,000 in the settlement will be paid to the government and a \$30,000 fund will be used to help Harbor's current patients. Harbor also is required to agree to have a neutral consultant monitor inspect the facility and report on its compliance. The monitor will cost Harbor as much as \$125,000.

11-11-05-15



# Long-term care gets overhaul

## Guidelines geared to kids

By KIM DOUGLASS  
Staff reporter

Delaware's new rules governing how chronically ill children should be cared for in nursing homes could be in place this year.

But the rules prompted by the deaths of several children in a Lewes-area nursing home in the late 1990s could be moot once they are reviewed and adopted.

Long-term care facilities in the state are designed primarily for adults, and state officials said they know of only about one or two children being cared for in a Delaware nursing home.

Most chronically ill Delaware children are being treated at home or out of state, and virtually all of them are covered under Medicaid, said Phil Soule, the state's Medicaid director.

Private insurance often will not cover such long-term care, and few families could afford the expenses, he said.

Yrene Waldron of the Delaware Health Care Facilities Association said that's unlikely to change, in part because caring for chronically ill children is very expensive.

"I know of no facility that's going to accept pediatric patients," she said. "The reimbursement for these types of clients is not commensurate with the cost of providing care."

Waldron said the new regulations make sense, but could make it even less likely that a nursing home would get into the business of long-term care for children.

In part, that's because the rules call for staff with specialties that are hard to find in Delaware, Waldron said.

But Sen. Robert Marshall, D-Wilmington West,

The rules call for such things as appropriately sized medical equipment and adequate, clean clothing for the children, who might suffer from severe injuries, birth defects or diseases.

an advocate for nursing-home reform, said the rules are important because some Delaware facilities could decide to go into the business of caring for children.

The rules call for such things as appropriately sized medical equipment and adequate, clean clothing for the children, who might suffer from severe injuries, birth defects or diseases.

The rules were drafted by the Division of Long-Term Care Residents Protection, and will be presented to the public for review during a hearing early this year.

Carey Slagle's son is among those being cared for in a home setting.

He was severely injured in a traffic accident about 10 years ago when he was 23 months old, and has been a resident of a Delaware nursing home for most of his life.

But that facility is trying to get out of the business of caring for children and urged Slagle to find a new setting for her son, she said.

The 30-year-old Middletown woman lives in a trailer and has two other

See RULES — B2

## Rules: Long-term care for kids adjusted

FROM PAGE B1

children and could not care for her son at home, she said.

A Bear nurse agreed to take him into her home, and he has been in good hands there, Slagle said.

Slagle is glad for the new rules governing how children such as her son are cared for. The nursing home took care of her son medically, she said. But "the kids would be in their rooms for hours at a time by themselves."

Her son sometimes was not bathed for days at a time, she said.

Eight Delawareans younger than 21 are being cared for in the

Voorhees Pediatric Facility in New Jersey which is designed for children. It costs on average \$500,000 a year per child in Medicaid money, Soule said. That facility has a waiting list, he said.

Soule's office also pays for 190 sick Delaware children being cared for at home. Their expenses vary, but it generally costs less than it would if they were being treated at Voorhees, Soule said.

It would be hard for a Delaware facility comparable to the one at Voorhees to thrive because of the limited number of local children who need to be institutionalized, Soule said.

"You can't run a facility efficiently with 15 kids," he said.

Delaware's new rules stem from investigations in the late 1990s after the deaths of six young patients at the Harbor Healthcare & Rehabilitation Center in Lewes between April 1998 and January 1999.

That facility was primarily in the business of caring for senior citizens, but operated a pediatric wing throughout the 1990s.

It was cited by the state in recent years for the care it provided children, and started to get out of that business earlier this year.

► Reach Kim Douglass at 324-2895 or kdouglass@delawareonline.com.





MONTHLY CENSUS REPORT

**December 2013**

Source: DDDS Client Registry System

A. STOCKLEY CENTER
MARY ANN COVERDALE CENTER
102 WAPLES WAY (ICF/MR)

B. COMMUNITY SERVICES/ RESIDENTIAL PLACEMENTS	NEW CASTLE	KENT	SUSSEX
NEIGHBORHOOD (GROUP) HOMES including CL42 & CL43	560	98	152
SUPPORTED LIVING	10	4	14
SHARED LIVING	22	54	48
OUT OF STATE	20	1	1
ETLA (Emergency Temporary Living Arrangement)	4	2	4

C. DPC (DELAWARE PSYCHIATRIC CENTER)	2	0	0
--------------------------------------	---	---	---

D. FAMILY SUPPORT	1480	594	616
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E. NURSING HOMES	NEW CASTLE	KENT	SUSSEX	OUT OF STATE
NURSING HOMES	24	7	5	1

Number as of the last day of the month
--

A.	48
	12
	60

	810
	28
	124
	22
	10
B.	994

C.	2
----	---

D.	2,690
----	-------

E.	37
----	----

Total Census:  
(A+D+E)

5785

Attachment "D"

Census Comparison First Quarter FY 13 to First Quarter FY 14		Change During FY13	July, 2013	August, 2013	September, 2013	Difference Since Start of FY14	October, 2013	November, 2013	December, 2013	Difference Since Start of FY14
A. STOCKLEY CENTER CENSUS	A.	3	61	61	61	0	60	59	60	-1
B. COMMUNITY SERVICES/ RESIDENTIAL PLACEMENTS										
NEIGHBORHOOD (GROUP) HOMES										
SUPPORTED LIVING			768	792	792	24	785	814	810	42
SHARED LIVING			18	22	23	5	23	28	28	10
OUT OF STATE			121	125	129	8	128	125	124	3
ETLA			22	22	22	0	31	22	22	0
Total Placements	B.	107	21	9	12	-9	13	7	10	-11
			950	970	978	28	980	906	994	44
C. PSYCHIATRIC PLACEMENTS	C.	1	2	2	2	0	2	2	2	0
D. FAMILY SUPPORT	D.	142	2,625	2,629	2,664	39	2,658	2,662	2,690	65
E. NURSING HOME CENSUS										
NURSING HOME CENSUS	E.	2	27	37	38	11	35	38	37	10
Total Census: (A to E)		243	3665	3699	3743	78	3735	3757	3783	118





The Delaware Code (31 Del. C. 520) provides for judicial review of hearing decisions. In order to have a review of the decision expressed below in Court, a notice of appeal must be filed with the clerk (Prothonotary) of the Superior Court within 30 days of the date of the decision. An appeal may result in a reversal of the decision. Readers are directed to notify the DSS Hearing Office, P.O. Box 906, New Castle, DE 19720 of any formal errors in the text so that corrections may be made.

DELAWARE DEPARTMENT OF HEALTH AND SOCIAL SERVICES  
DIVISION OF SOCIAL SERVICES

In re:

A. G., a minor

DCIS No.:  
5000703852

Appearances: Marybeth Putnick, Disabilities Law Program, Community Legal Aid Society, Inc., Counsel for the Claimant  
Claimant's Parent, Witness  
Donna Carroll, Clinical Social Worker, Brandywine School District, Witness

Jennifer Gimler Brady, Counsel for the First State Health Plan  
Tricia Strusowski, R.N., First State Health Plan, Witness  
Libby Walker, R.N., Supervisor, Pre-Certification Department, First State Health Plan, Witness<sup>1</sup>

I

A. G. (sometimes hereinafter the "claimant"), through counsel and her parent A. G. opposes a March 16, 2000 decision of the First State Health Plan (sometimes "First State") to deny a request for in-home speech therapy.

First State contends that it is a responsibility of the claimant's school district to provide speech therapy services and not a responsibility of the First State Health Plan.

The claimant contends that speech therapy is medically necessary for her, that First State is obligated to arrange for medically necessary covered services under the Medicaid Program, that her doctors have expressly prescribed speech therapy at home, and that First State may not lawfully deny her claim for speech therapy services on grounds that the services are part of the individualized education plan developed by her school.

<sup>1</sup> Thomas Mannis, M.D., the Medical Director for the First State Health Plan also attended this hearing.

## II

In November and December 1999 First State denied requests for speech therapy for the claimant on grounds that "speech therapy for the condition of developmental delays is not a covered benefit" and because the therapy "is already being provided through [the claimant's] school." [Exhibit # 2]

On December 9, 1999, following an appeal to Christiana Care Health Plans, First State affirmed the denial on grounds that "the therapy is not medically necessary in addition to the school based therapy." By notice dated March 16, 2000, Christiana Care reaffirmed the decision. [Exhibit # 2]

On March 29, 2000 A. [redacted] filed a request for a Fair Hearing with the Division of Social Services. [Exhibit # 1]

The hearing was conducted on June 12, 2000 at the Lewis Building of the Department of Health and Social Services in New Castle.

This is the decision resulting from that hearing.

## III

The Division of Social Services of the Department of Health and Social Services operates several medical assistance programs including the State funded Chronic Renal Diseases Program<sup>2</sup>, the Medicaid Program under Title XIX of the Social Security Act, the "QMB" Program<sup>3</sup> which is a Medicare Program that is partly funded with Medicaid Program money, and the "Delaware Healthy Children Program"<sup>4</sup> funded by Title XXI of the Act. The Division derives authority for the operation of the Medicaid Program from 31 Del. C. §502(5), §503 (b), and §505 (3).

The Medicaid Program provides support for medical services received by defined groups of low-income families and individuals. Persons who meet income and status eligibility tests, such as age, citizenship, and residency, may participate in the program. Participants qualify for payment for a wide range of medical services.

The First State Health Plan is a capitated<sup>5</sup> managed care program offered by Christiana Care Health Services to direct, on behalf of the Division of Social Services, benefits covered under Title XIX of the Social Security Act.

A. [redacted] is a third party beneficiary of a contract between First State and the Division of Social Services. She is a four-year-old

<sup>2</sup> 29 Del. C. §§ 7932-7935.

<sup>3</sup> Section 17300 DSSM.

Section 18000 DSSM.

<sup>5</sup> See 42 CFR 434.2. A capitation fee is paid by DSS to managed care contractors "for each recipient enrolled under a contract for the provision of medical services under the State plan, whether or not the recipient receives the services during the period covered by the fee."



youngster who receives medical assistance under the DSS Disabled

Children's medical assistance program.<sup>6</sup> She is diagnosed with bicolingual dyspraxia, expressive and receptive language delays and significant articulation problems.

First State contracts with DSS to provide comprehensive prepaid managed care health services to persons who receive Medicaid. A purpose of managed care is to "stabilize the rate of growth in health care costs."<sup>7</sup>

Jurisdiction for this hearing is under §5304.3 of the Division of Social Services Manual (DSSM). Section 5304.3 provides jurisdiction for a hearing over an adverse decision of a Managed Care Organization.

#### IV

The essential facts in this case are not in dispute. The claimant resides with her parents in \_\_\_\_\_ and receives educational services from the Bush Early Education Center of the Brandywine School District. She is enrolled in a specialized education program where she receives speech therapy services twice a week. She is eligible to receive services for an "extended school year." Her school speech therapy is an educational service covered under the Individuals with Disabilities Education Act<sup>8</sup>. She meets the definition of a child with a disability at 20 U.S.C. §1401 (3) (A) (i). She has a specific learning disability.

First State has denied a request for authorization of an additional weekly in-home speech therapy session and speech therapy services during the months of August and September when her school is out of session.

The claimant's pediatric neurologist S. Charles Bean, M.D. has prescribed in-home speech therapy for her. [Exhibits # 2 and # 8] It is thought that in-home speech therapy will improve her functional communication skills; that it serves a different purpose from speech therapy in school, and that therapy in the home environment is less stressful than therapy given in the claimant's school and, therefore, is more beneficial to her. School-based speech therapy is not available to her during the months of August and part of September. It is believed that speech therapy is needed during these months to prevent regression of her language skills.

According to First State, the claim was denied because the speech therapy services are an educational obligation of the claimant's school district. It is undisputed that speech therapy is an educational obligation of the school.

<sup>6</sup> See §17200 DSSM. The Delaware Disabled Children's program is analogous to the program described in the federal rule at 45 CFR 435.225. The State program requires a level of care determination rather than the determination, found in the federal rule, that the child qualify as a disabled individual under section 1614(a) of the Social Security Act.

<sup>7</sup> Diamond State Health Plan, July 27, 1994, Chapter 1-1.

<sup>8</sup> 20 U.S.C. §1400 et seq.

However, the First State position that it, consequently, has no obligation to arrange for speech therapy services that the school does not provide is not supported by the law at 42 U.S.C.A. §1396b, which provides:

(c) *Treatment of educationally-related services*

Nothing in this subchapter shall be construed as prohibiting or restricting, or authorizing the Secretary to prohibit or restrict, payment under subsection (a) of this section for medical assistance for covered services furnished to a child with a disability because such services are included in the child's individualized education program established pursuant to Part B of the Individuals with Disabilities Education Act [20 U.S.C.A. §1411 et seq.] or furnished to an infant or toddler with a disability because such services are included in the child's individualized family service plan adopted pursuant to part H of such Act [20 U.S.C.A. §1471 et seq.]

United States Code Annotated, Title 42 §§ 1395ee to 1399, 2000 Supplementary Pamphlet, West Group.

Since the Secretary of the United States Department of Health and Human Services is prohibited by law from denying claims for speech therapy services under the Medicaid Program because an individual is able to receive those services from a school district when the services are educationally indicated, it follows that the Delaware Department of Health and Social Services, the Division of Social Services, and the Division's agent, the First State Health Plan, are likewise prohibited from denying claimant's claim for medically necessary supplemental speech therapy services.

For this reason, the March 16, 2000 decision of First State, affirming an earlier denial because speech therapy was received at the claimant's school and denying a request for additional speech therapy services on grounds that the services are an obligation of the claimant's school district, is reversed.

  
HEARING OFFICER

JUNE 22 2000  
DATE

THE FOREGOING IS THE FINAL DECISION OF THE DIVISION OF SOCIAL SERVICES

JUN 22 2000

POSTED

cc: Marybeth Putkin for the Claimant  
Jennifer Gimler Brady for the First State Health Plan

## DOCUMENTS FILED IN OR FOR THE PROCEEDING

Exhibit # 1 is a request for a fair hearing dated March 29, 2000.

Exhibit # 2 (six pages) is a two page hearing summary of the First State Health Plan together with four pages of speech therapy denial notices dated November 30, 1999, December 7, 1999, December 9, 1999, and March 16, 2000.

Exhibit # 3 (four pages) is a photocopy of a November 30, 1999 speech therapy evaluation of the claimant. This is offered by First State to show the overlay between the speech therapy and educational goals for the claimant.

Exhibit # 4 (approximately twelve pages) is an individualized education program for the claimant. This is offered by First State to show the overlay between the speech therapy and educational goals for the claimant.

Exhibit # 5 (approximately 22 pages) consists of photocopies of Nurses 'N Kids at Home, Inc. speech therapy weekly progress notes from 11/30/99 to 5/25/00. These are offered by the claimant to show progress made as a result of her in-home speech therapy and to show the difference between at-school and in-home therapies. The latter claim is rejected because there are no comparable school district reports. They are admitted pursuant to \$5404 (5).

Exhibit # 6 (three pages) is a photocopy of a Nurses 'n Kids at Home speech therapy progress update dated May 15, 2000. This is offered by the claimant to show progress made as a result of her in-home speech therapy and is admitted pursuant to \$5404 (5).

Exhibit # 7 is a statement made outside the hearing by S. Charles Bean, M.D. dated June 9, 2000 about the claimant's need for speech therapy services. It is offered by the claimant and is included over objection for relevance pursuant to \$5404 (5).

Exhibit # 8 (four pages) consists of photocopies of a letter from S. Charles Bean, M.D. dated October 28, 1999, a letter from Charles I. Scott, Jr., M.D. dated December 2, 1999, a letter from Joseph DiSanto, M.D. dated January 17, 2000 and a letter from Denise Yeatman dated January 21, 2000. These are offered by the claimant in support of the position that in-home speech therapy one day per week is medically necessary. They are included pursuant to \$5404 (5) DSSM.

Exhibit # 9 is a photocopy of a letter dated November 29, 1999 from Donna Carroll to the First State Health Plan. This is included pursuant to \$5404 (5).



National Association of Protection and Advocacy Systems  
Q & A: Using Medicaid to Cover Services Provided in  
School

National Health Law Program  
Sarah Somers  
May 2006

**Question:** Some of my clients are children with disabilities who are eligible both for Medicaid services and for special education services in school. Some of the services that they receive in school, like speech therapy, are also covered by Medicaid. Can Medicaid pay for these special education services if they are provided in schools?

**Answer:** Many medically necessary services that children with disabilities receive in schools can be paid for by Medicaid.

The Individuals with Disabilities Education Act (IDEA), 20 U.S.C. § 1401 *et. seq.*, requires that children with disabilities receive a free, appropriate public education which consists of special education and "related services." Related services are transportation and developmental, corrective, and other supportive services that may be required to assist a child with a disability to benefit from special education. 20 U.S.C. §



1402(22). The law specifies that these services include speech pathology, physical and occupational therapy, psychological services and diagnostic medical services. *Id.* Special education and related services are provided pursuant to an Individual Education Program Plan (IEP) which contains educational goals and objectives for a child, and is drafted by a team consisting of teachers, parents and other professional who work with the child. 20 U.S.C. §§ 1401(11), 1414(d).

Some of the related IDEA services are identical to those provided under Medicaid. Medicaid services also include diagnostic services, physical and occupational therapy services and psychological services. 42 U.S.C. § 1396d. Under Medicaid's Early and Periodic Screening, Diagnosis and Treatment Program (EPSDT), children and youth under 21 are entitled to any necessary health care, diagnostic services, treatment and other measures described in the Medicaid Act which the child needs to correct or ameliorate physical and mental illnesses and conditions. 42 U.S.C. § 1396d(r).

\* Some related services can be paid for by Medicaid. In fact, the Medicaid statute specifically forbids the federal government from refusing to pay for Medicaid services that are provided to a child with a disability as part of the child's IEP. 42 U.S.C. § 1396b(c). In addition, 34 C.F.R. § 300.601 provides that "Part B of [IDEA] may not be construed to permit a State to reduce medical and other assistance available to children with disabilities, or to alter the eligibility of a child with a disability, under title V (Maternal and Child Health) or title XIX

(Medicaid) of the Social Security Act, to receive services that are also part of FAPE." In order to be covered: (1) services must be medically necessary and coverable under a Medicaid coverage category; (2) all relevant federal and state regulations must be followed; and (3) the services must be included in the state's plan or be available under EPSDT. In order to bill for services, however, the school must be a participating Medicaid provider. *See e.g.* Letter from Christine Nye to Director, Medicaid Bureau (May 17, 1991); Chicago Regional State Letter No. 34-91 (June 1991); Title XIX State Agency Letter No. 91-52, Region X (July 3, 1991) (available from NHELP). Moreover, Medicaid agencies cannot restrict providers of services to schools. *See e.g.* Chicago Regional State Letter No. 34-91 (June 1991); *see also Chisholm v. Hood*, 110 F. Supp. 2d 499 (E.D. La. 2000) (holding that restricting Medicaid providers of speech, occupational and physical therapy services to school boards violated Medicaid Act).

A specific exception is applicable to some home and community-based waiver services. The Medicaid Act allows states to adopt special home and community-based (HCB) waiver programs. These programs allow states to waive some Medicaid requirements, such as financial eligibility rules, to offer services to targeted populations or areas. Under these programs, states can offer additional services that otherwise could not be covered by Medicaid. 42 U.S.C. § 1396n(c). One such service is habilitation, defined by the Act as "services designed to assist individuals in acquiring, retaining and improving the self-help, socialization and adaptive skills

necessary to reside successfully in home and community based settings. . .” 42 U.S.C. § 1396n(c)(5)(A). However, habilitation services cannot be covered if they are also special education or related services. 42 U.S.C. § 1396n(c)(5)(C)(i). So, if habilitation services are provided pursuant as part of a child’s special education program, the school will probably not be able to get Medicaid reimbursement for them.



EXCERPT

## HHS Policy Clarification

Prepared for: Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services

In cooperation with: Health Care Financing Administration, U.S. Department of Health and Human Services, and the Office of Special Education and Rehabilitative Services, U.S. Department of Education

Prepared by: Lewin/ICF, a division of Health & Sciences International, and Fox Health Policy Consultants  
November 1991

The U.S. Department of Health and Human Services (HHS), in cooperation with HCFA and OSERS, issued a policy clarification on the use of Medicaid funds in the provision of health-related services under the IDEA. The purpose of the joint policy statement was to explain, in plain language, the extent to which services contained in an IEP under Part B can be reimbursed by Medicaid. The HHS guidance was intended to encourage state and local educational agencies to cooperate more closely with state Medicaid agencies in the provision and funding of special education and related services.

### Medicaid Coverage of Health-Related Services for Children Receiving Special Education: An Examination of Federal Policies

#### Overview

Part B of the Individuals with Disabilities Education Act (IDEA) authorizes Federal funding to states in order to ensure that children with one or more of thirteen specified disabilities receive a free appropriate public education. The law was established by Public Law 94-142 and was formerly called the Education of the Handicapped Act. Under the law, school districts must prepare an Individualized Education Program (IEP) for each child eligible for services under Part B, specifying all special education and "related services" needed by the child. A state Medicaid program can pay for those "related services" that are specified in the Federal Medicaid statute and determined to be medically necessary by the state Medicaid agency.

Within Federal and state Medicaid program requirements regarding allowable services and providers, school districts can bill the Medicaid program for these health-related services when

provided to children enrolled in Medicaid. This is important because of the additional financing it offers to educational agencies. The Part B program requires states to provide all special education and related services to eligible students at no cost to parents, but many states find this difficult because they are constrained by limited education budgets.

This booklet is designed to help state and local education officials, Medicaid officials, and other interested parties understand the conditions under which the Medicaid program can pay for the related services required by an IEP. It also describes the extent to which state Medicaid eligibility, coverage, and reimbursement policies are governed by Federal law.<sup>1</sup>

The booklet is organized in a "Question and Answer" format. We strongly recommend that the reader review the complete range of questions and answers given the complexity of the issues presented. The remainder of this overview provides background information on the two relevant programs: the Assistance to States Program established under Part B of IDEA, and the Federal/state Medicaid program established under Title XIX of the Social Security Act. A list of the questions addressed by the booklet is provided in Exhibit 1.

#### A. The Part B Program

The Federal entitlement program that governs services to children with one or more of thirteen specified physical or mental disabilities who by reason thereof require special education and related services is authorized under Part B of the Individuals with Disabilities Education Act.<sup>2</sup> The Part B program is administered by the Office of Special Education and Rehabilitative Services within the U.S. Department of Education. Grants are distributed to states, which then disburse most of the funds to local education agencies (e.g., school districts) to support their special education activities.

The grants under Part B are intended to assist states in assuring that children with specified disabilities receive a free appropriate public education as specified in the Act. A "free appropriate public education" is defined to include special education and related services at no cost to the parents.

- "Special education" is defined as "specially designed instruction, at no cost to the parent, to meet the unique needs of a child with a disability." It can include classroom instruction, instruction in physical education, home instruction, and instruction in hospitals and institutions to ensure that children with disabilities receive a free appropriate public education.

- "Related services" are defined as "transportation, and such developmental, corrective and other supportive services as are required to assist a child with a disability to benefit from special education." These include several health-related services that must be available, including speech pathology, audiology, psychological services, physical and occupational therapy, early identification and assessment of disabilities, counseling services, school health services, social work services in school, and medical services for evaluation and diagnostic purposes only.<sup>3</sup>



Although states and localities fund the bulk of special education services, Federal Part B funds are an important supplement. To receive Part B funds, a state must submit a plan through its state education agency (SEA) detailing state policy for ensuring that children with specified disabilities have access to a free appropriate public education. The state application also must include an estimate of the total number of children with disabilities currently receiving and/or in need of special education and related services. The state must also provide estimates of the personnel and other resources necessary to meet the special education needs of children as specified by the Act. The distribution of funds among states is determined by a formula based on the number of children with disabilities age 3 through 21 receiving special education and related services within each state.

Once Part B monies have been approved, they are forwarded to the SEA for distribution to local education agencies (LEAs). LEAs generally are comprised of one or more local school districts. The LEAs receive funds only after they have submitted a program plan and been granted approval by the SEA. The LEAs are then expected to provide services to students with specified disabilities. State and local education agencies are prohibited from reducing their existing financial commitments to special education in response to the receipt of Part B funds.

For students with specified disabilities eligible for special education services under Part B, an Individualized Education Program (IEP) must be developed cooperatively by the school, the child's teacher, the child's parent or guardian, and others if deemed appropriate. Developed by the beginning of the school year, and reviewed (and if appropriate revised) at least annually, the IEP must detail specific special education and related services that are to be provided to the child. The LEA is responsible for assuring that all services included in the IEP are provided to the child and that education occurs in the "least restrictive environment," meaning that the child is educated with non-disabled peers to the maximum extent appropriate.

### B. The Medicaid Program

Medicaid is a nationwide Federal/state medical assistance program for selected low-income populations. The Medicaid program was established in 1965 as Title XIX of the Social Security Act. It is federally administered by the Health Care Financing Administration (HCFA) within the U.S. Department of Health and Human Services (DHHS). While Congress and HCFA set broad Federal guidelines for the program, states have considerable flexibility in formulating eligibility, benefits, and reimbursement policies. Every state documents these policies in a state Medicaid plan which must be approved by HCFA.

The Medicaid program is funded by a combination of Federal and state dollars. The Federal Government "matches" state dollars as long as both the services and the eligible populations are within the parameters approved in the state plan. The level of the Federal match, known as Federal Financial Participation (FFP), is determined by a formula based on state per capita income. The minimum FFP in state expenditures for medical services is 50 percent of total program costs; the maximum FFP is 83 percent.

Medicaid is a "categorical," means-tested program. Individuals must fit into specific categories (e.g., dependent children) and must have income and resources below specified thresholds. Until recently, Medicaid eligibility was linked almost exclusively to eligibility for Federally funded cash assistance under two programs: Aid to Families with Dependent Children (AFDC) and Supplemental Security Income (SSI). AFDC and SSI are "categorical" programs. AFDC recipients live in families with a single or unemployed parent and SSI recipients are aged, blind, or disabled. States are also able to establish "Medically Needy" programs to cover individuals who meet the categorical eligibility criteria for cash assistance but not the income and resource eligibility criteria. Under a Medically Needy program, states may extend eligibility to individuals with family incomes up to 133 percent of the state's AFDC payment standard and also to individuals who incur health expenses which, when deducted from income, bring their net income below the medically needy level.

Recent Federal legislation has diminished the link between eligibility for cash assistance and Medicaid. Medicaid has been expanded to include many young children with family incomes and resources well above state eligibility standards for cash assistance. Moreover, many of these children qualify for Medicaid regardless of whether they have disabilities or are in single-parent families.

Medicaid covers a broad range of medical and remedial services. Federally allowable services include not only traditional medical services and remedial care, such as physicians' services and prescription drugs, but also several health and therapeutic interventions, such as occupational therapy. Some services are mandated by Federal law and must be provided by every state, while other services are provided at a state's discretion. One special program established for children is the Early and Periodic Screening, Diagnosis and Treatment (EPSDT) program. Under the EPSDT program, children must receive not only screening and diagnostic services, but also any medically necessary treatments that may not otherwise be available under a state's Medicaid plan but are allowable under Federal Medicaid law.

Medicaid services may be provided by a range of health professionals in a variety of settings, including a child's home or school. However, in defining service benefits, states have some latitude in specifying the types of providers and settings in which services must be provided in order to be reimbursable.

In general, state Medicaid programs pay participating providers for covered services on a per unit of service basis (such as a physician office visit). Within Federal guidelines, states have flexibility in determining reimbursement rates for particular services and providers. Providers generally bill Medicaid directly for payment for covered services provided to Medicaid recipients. States have the option of requiring nominal cost-sharing by Medicaid recipients for some services, meaning that the recipient pays a small "copayment" (e.g., \$2.00) to the provider for a given service.

In sum, states have considerable flexibility in defining Medicaid eligibility groups, benefits, provider participation requirements, and reimbursement levels within Federal guidelines. It is because of this flexibility that states can shape their programs to include reimbursement for health-related services



required under the Part B program, a process that can be facilitated through interagency agreements between the state's Medicaid agency and education agencies.

### C. Questions Addressed By The Handbook

Federal policy has established that education agencies can bill Medicaid for health-related services covered under the state's Medicaid program. However, there has been considerable confusion about Federal policy, and the various laws and regulations governing the billing and reimbursement process can be complicated and ambiguous. This booklet seeks to clarify the relevant Federal policies in response to the questions shown in Exhibit 1. (Exhibit 1 Omitted)

### Questions and Answers

#### A. Idea Policy Regarding Medicaid Billing

##### 1. Does Federal Part B policy allow Medicaid billing for health-related services covered under a state's Medicaid program. . .

Yes. Although Part B does not expressly require Medicaid billing for covered health-related services, Congress anticipated the use of Medicaid and other resources to finance health-related Part B services. The Senate Report accompanying the original act, P.L. 94-142, states that "the state education agency is responsible for assuring that funds for the education of handicapped children under other Federal laws will be utilized" and that "there are local and state funds and other Federal funds available to assist in this process."

Moreover, three statutory amendments to Part B, made in 1986 by P.L. 99-457, further support the use of Medicaid and other sources to finance IEP-related services. Under these amendments:

- States are prohibited from using Part B funds to satisfy a financial commitment for services that would have been paid for by other Federal, state, and local agencies but for the enactment of Part B and the listing of the services in an IEP.
- States are required to establish interagency agreements with appropriate state agencies to define the responsibility of each for providing or paying for a free appropriate public education and resolving disputes; and
- It is clarified that P.L. 94-142 cannot be construed as permitting a state to reduce medical or other available assistance, or to alter Title V Maternal and Child Health Block Grant or Medicaid eligibility with respect to the provision of a free appropriate public education.

##### 2. Are there any Federal special education policies that limit the circumstances under which the Medicaid program can be billed for health-related services?

The only Federal education policy that could restrict Medicaid payment for covered health services is the basic IDEA requirement that special education services be provided "at no cost to parents." The effect of this provision is that state or local education agencies must assume any costs the Medicaid agency

does not pay for so that no costs are imposed on the parents. For example, if the state Medicaid agency has elected to exercise its Federal option to impose nominal cost-sharing requirements on Medicaid recipients for services that include health-related services furnished by schools, the state or local education agency would be required to meet these copayment obligations for an eligible family.<sup>4</sup>

#### B. Medicaid Policy Regarding Payment For Health-Related Services

##### 1. What are the Federal Medicaid program requirements regarding reimbursement for health-related services?

The Federal Medicaid statute does not require that Medicaid programs reimburse schools for health-related services delivered to Medicaid-eligible children. However, the Medicare Catastrophic Coverage Act of 1988 (MCCA) amended the law to make clear that Medicaid funds are available to pay for health-related services.<sup>5</sup> The amendment states that nothing under the Medicaid statute is to be construed as prohibiting or restricting, or authorizing HCFA to prohibit or restrict, payment for services covered under a Medicaid state plan simply because they are furnished to a handicapped child pursuant to an individualized education program (IEP). The implication, as explained in the Conference Report, is that state education agencies are responsible for furnishing special instruction and educational services to children with disabilities; but that state Medicaid agencies are responsible for reimbursing health-related services provided to Medicaid-eligible children to the extent the state covers them under its Medicaid plan.

##### 2. Are there any Federal Medicaid policies that limit the circumstances under which the Medicaid program can be billed for health-related services?

Under Federal law, the Medicaid program can only be billed for medically necessary services that are included in the state's Medicaid plan and provided by participating Medicaid providers. An exception to this is services provided under the EPSDT program (see Section C). In addition, except under circumstances described in Section F, Medicaid does not pay medical expenses that a third party, such as a private insurance company, is legally obligated to pay.

##### 3. What state Medicaid policies must be in place in order for schools to bill Medicaid for medically necessary health-related services?

In order for schools to be able to bill Medicaid, the state Medicaid program must cover the various health-related services a child may need (e.g., physical therapy) under one of the service categories in its Medicaid state plan. In addition, the state Medicaid agency needs to have qualifications for providers of health-related services that schools or their practitioners would be able to meet (see Section E for a discussion of provider qualifications). These policies need to be reflected in the state Medicaid plan (see section G). However, while the state Medicaid agency can establish qualifications which would allow schools or their practitioners to be providers, it may not specify schools or their practitioners as the sole providers of health-related services.

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**DELAWARE HEALTH  
AND SOCIAL SERVICES**  
DIVISION OF MEDICAID AND  
MEDICAL ASSISTANCE

April 17, 2014

Daniese McMullin-Powell  
Chairperson  
State Council for Persons with Disabilities  
Margaret M. O'Neill Building  
410 Federal Street, Suite 1  
Dover, Delaware 19901  
SLC D340E

RE: 17 DE Reg. 950 [DMMA Proposed 1915(c) Home and Community-Based Services Waiver  
Renewal Application Regulation] – April 1, 2014

Dear Ms. McMullen-Powell:

Thank you for your letter regarding the Delaware Health and Social Services (DHSS)/Division of Medicaid and Medical Services (DMMA)/Division of Developmental Disabilities Services (DDDS) renewal application to the Centers for Medicare and Medicaid Services for 1915(c) Home and Community-Based Services (HCBS). Each comment was considered and the agency's response follows.

You write,

On February 28, 2014, the Division of Developmental Disabilities Services forwarded a notice to the DD Council and other agencies that its draft waiver renewal was available for review on its website. We are providing the following analysis of the document. Given time constraints, this critique should be considered preliminary and non-exhaustive. Parenthetically, since the notice recites that DDDS intends to submit its application to CMS "not later than the end of the week of March 10th", the DD Council is sending these comments for consideration.

**Agency Response Note:** Thank you for your comments. We greatly appreciate the thoughtful input given regarding the renewal application for the DDDS HCBS Medicaid Waiver on behalf of SCPD (The Council). With regard to your specific comments, please note that each "**Agency Response**" provided below was developed and prepared by the Division of Developmental Disabilities Services (DDDS). Also, the thirty-day public comment period for the proposed regulation as published in the Delaware Register of Regulations ends on April 30, 2014. Therefore, in accordance with the Delaware Administrative Procedures Act at 29 Del.C. Ch. 101, your comments and the agency's responses will appear in the June 1, 2014 issue of the Delaware Register along with any other comments received.

1. Preliminarily, the Council would like to express concern with the truncated opportunity for comment. The "Public Input" section (p. 8) recites that DDDS will publish notice of the renewal in the Register of Regulations and establish a 30-day comment period. In contrast, no notice has appeared in the Register of



Regulations and the February 28 notice emailed to the DD Council offers only a 2-week comment period since DDDS plans to submit its application during the week of March 10. In practice, DHSS submits its proposed waivers to the Register with at least a 30-day comment period. Compare 17 Del. Reg. 156 (August 1, 2013); 17 DE Reg 688 (January 1, 2014); and 17 DE Reg. 930 (March 1, 2014).

*Agency Response:* The public will have additional opportunities to comment before the waiver renewal is finalized. Notice regarding the waiver renewal appeared in the April 1, 2014 issue of the Delaware Register of Regulations and allows for the full thirty (30) day comment period. The completion of the waiver renewal document was delayed and in order to allow sufficient time for the Centers for Medicare and Medicaid Services (CMS) review and for public comment; those processes are running concurrently.

2. Delaware DHSS has included participant direction into its recent waiver initiatives, including personal care/attendant services in both the "Pathways to Employment" waiver [17 DE Reg. 688 (January 1, 2014)] and the Diamond State Health Plan Plus waiver [16 DE Reg. 1140 (May 1, 2013)]. CMS explicitly encourages states to include participant direction in their waivers:

CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both. CMS will confer the Independence Plus designation when the waiver evidences a strong commitment to participant direction.

At 91. The first explicit objective for the DDDS waiver is to "(p)romote independence for individuals enrolled in the waiver...". At 4.

In contrast, DHSS certifies (p. 90) that "(t)his waiver does not provide participant direction opportunities." This rejection of participant direction opportunities is reiterated throughout the document. See, e.g., pp. 5, 41, and 43.

The rejection of participant direction opportunities is an anachronism.

*Agency Response:* At the present time, DDDS does not have the infrastructure to support participant directed services.

3. The DDDS eligibility regulation [16 DE Admin Code 2100] includes individuals with brain injury. In contrast, the waiver contains zero (0) references to brain injury. It explicitly covers (p. 20) persons with intellectual developmental disability, autism spectrum disorder, and Prader Willi Syndrome. This may be cause for alarm, particularly among proponents of services for individuals with brain injury who are being manifestly omitted from waiver coverage.

*Agency Response:* The criteria in the waiver renewal application do not specifically reference individuals with brain injury, but they are nevertheless included in the waiver target group. The waiver application references the DDDS eligibility criteria as one of the criteria for waiver eligibility. The current DDDS eligibility criteria refer to "mental retardation" and "brain injury". DDDS is in the process of revising its division eligibility to replace the term "mental retardation" with "intellectual disability". The proposed terminology in the proposed DDDS eligibility criteria of "intellectual disability" encompasses individuals with brain injury (if it occurred within the developmental period) if they also meet functional limitations as specified in the DDDS criteria. It is our hope that the proposed DDDS eligibility criteria will be in



effect before the effective date of the waiver renewal on July 1, 2014 so that the language will be consistent. Because several other groups and individuals raised this same concern, DDDS will ask CMS to add the term “brain injury” to the waiver application to make it clear that this population is included.

4. DDDS proposes (p. 20) no upper or maximum age limit for participants. However, although the current waiver covers children ages 4 and up, DDDS proposes (pp. 1 and 20) to restrict eligibility to children age 12 and older. This is objectionable and short-sighted for several reasons.

A. Historically, DDDS has offered shared living/foster care for children with families with special interest and expertise in caring for individuals with developmental disabilities. If approved, DDDS could no longer pay for this service on behalf of children under age 12 with the federally subsidized waiver funds.

B. The attached DDDS enabling statute [Title 29 Del.C. §7909A] imposes a “duty” to provide “foster care placements”, “neighborhood homes”, and “supported living” without any exclusions based on age. In the absence of a statutory authorization to discriminate based on age, DDDS cannot limit its services to certain age groups without violating the Age Discrimination Act and its implementing regulations. When the Division adopted a policy of excluding minors from its group home system in the past, it was “prompted” to settle an HHS OCR complaint by rescinding the policy. See attachments. Cf. attached OCR directive to Division of Public Health that presumptive age limit for nursing home admission violates Age Discrimination Act and attached DSAAPD letter to DFS successfully challenging age limit on foster parents based on Age Discrimination Act. If CMS approves the age restriction in the waiver, DDDS will still have to provide residential and other waiver services to children under age 12. It will simply have to do so with no federal Medicaid match.

C. The DDDS enabling statute [§7909(c)(4)] requires DDDS to provide early intervention services to children ages 0-3. Early intervention services under the DHSS implementation of IDEA-Part C include a lengthy list of supports and services. See, e.g. Title 16 Del.C. §212. Moreover, some children with developmental disabilities are eligible for IDEA-Part B at birth. The Interagency Collaborative Team (ICT) [Title 14 Del.C. §3124] could prompt DDDS to provide residential programming to such children. If the children are ineligible for the waiver based on age, DDDS will have to provide residential services solely with state funds.

D. In the past, DDDS investigated systemic neglect of young children with developmental disabilities in a nursing facility (Harbor Health). See attached News Journal articles. The availability of waiver-funded residential options on an emergency basis would be an important resource if such a situation recurred. If the Division “ties its hands” by excluding pre-teens from the waiver, it loses capacity to address this type of situation.

**Agency Response:** As referenced in the waiver application, DDDS has used Medicaid claims data to verify that no one under the age of twelve (12) has ever received a DDDS waiver service. Based on the services included in the waiver benefit package, it is not designed for children. The DDDS eligibility criteria still allow the division to serve individuals age four (4) and above as part of its state mandate if they otherwise meet the DDDS eligibility criteria. The citation from the Delaware Code referenced by the Council only relates to services provided by the Division using state funds and does not govern services provided under a federal Medicaid waiver. So-called “Comprehensive” Medicaid HCBS waivers, such as the DDDS Waiver, are commonly limited by age. The early intervention services referred to by the



Council are provided by the Division of Public Health (DPH) and the Birth to Three programs in the Division of Management Services (DMS) and not by DDDS. The department is in the process of requesting an amendment to the statute to correct the operating responsibility for this program.

5. Although the waiver document (p. 69) generally suggests that the “State does not impose a limit on the amount of waiver services”, the State imposes (pp. 55-56) an absolute weekly cap of forty (40) hours on supported living. The effect will be “creaming”, i.e., only individuals with modest to mild needs will be able to live in supported apartments or their own homes since support services are capped. Perhaps this is why DDDS projects 825 waiver participants in group homes and only thirty (30) participants in supported living in the first year of implementation. See pp. 148-149. The absolute cap on supported living undermines “choice” and the recently published CMS policy preference for provision of waiver services in integrated settings [79 Fed. Reg. 2948 (January 16, 2014)]. The revised CMS regulation [42 C.F.R. 441.745; 79 Fed Reg at 3038] recites that “a State may not limit access to services based upon....the cost of services.”

*Agency Response:* The response to the waiver section indicating whether the State proposes to place *additional* limits on waiver services, *except as provided in Appendix C*, is correct. There are no proposed limits other than those imposed in Appendix C. Supported Living is the only service for which a limit in the number of units a member can receive is specified. Limits on individual services are allowed by CMS. The limit proposed for Supported Living is based on the amount of support currently received by individuals paid for by DDDS with State funds. No individual currently receives more than thirty-five (35) hours per week and the majority of the individuals receive fifteen (15) hours. The number of projected waiver members receiving this service is also based on the individuals currently receiving this service and how many of them are likely to meet waiver eligibility rules.

6. The waiver document recites that shared living providers offer residential habilitation services and “are paid at the Medicaid rate for the hours of support they provide up to a maximum of the support hours indicated by the member’s ICAP score.” At p. 139. It is unclear if there is an absolute cap on payment under the ICAP system. If there is a cap, this may limit “choice” and the ability of high-need individuals to avoid institutional placement.

*Agency Response:* The Inventory for Client and Agency Planning (ICAP) is an assessment instrument that assists agencies such as DDDS in determining the support needs of individuals with intellectual developmental disabilities. The assessment scores are translated into a recommended number of support hours per day for each client. The number of support hours is then multiplied by the hourly rate that is applicable to each waiver service. For residential habilitation providers, this computation results in a per diem payment arrangement (ICAP hours x hourly rate). The limit of ICAP hours per day is twenty-four (24) if the client is supported in a 1:1 arrangement. The hourly rates for residential habilitation were developed independent of the ICAP assessments. States use different assessment tools to determine the level of direct support needed for each client.

7. The waiver document (p. 59) contains the following description of neighborhood group homes: “Each resident must have their own bedroom unless they express a preference to share a room”. This is of questionable accuracy. The DDDS neighborhood regulation [16 DE Admin Code 3310, §8.0] does not contain such a standard. Parenthetically, private rooms must be an available option in waivers based on a participant’s choice. See 79 Fed Reg at 2964.

*Agency Response:* DDDS does not believe that there is a conflict. This language in the waiver application communicates DDDS's expectations for waiver recipients who reside in Neighborhood Group Homes. The Division of Long Term Care Residents Protection (DLTCRP) regulations govern all facilities in Delaware that are licensed as Neighborhood Homes for Persons with Developmental Disabilities. Not all residents of neighborhood homes are enrolled in the DDDS HCBS waiver. The statement in the waiver only applies to waiver members.

8. The waiver document authorizes relatives to serve as providers of both "shared living" and "supported living" services. See pp. 2, 55-56 and 61. The CMS templates allows the State to authorize "guardians" to serve as providers as well. Id. However, DHSS has rejected this option. Id. This is unfortunate for several reasons.

A. Other DHSS programs do not bar provision of services by guardians. DDDS has suggested that, in the common situation in which parents are co-guardians of an adult child, a Chancery Court petition could be filed to remove one parent as guardian so the "removed" parent could qualify as a waiver service provider. This is a rather byzantine approach.

B. DDDS has experienced great difficulty in promoting relatives to petition for guardianship when necessary. The exclusion of guardians from serving as waiver providers will simply provide an additional disincentive to relatives considering pursuit of guardianship.

C. One of the purposes of the waiver is to "promote the engagement of family....supports whenever possible." At p. 4. This objective is undermined by the ban on guardian providers.

*Agency Response:* By making this change, DDDS is opening the opportunity for family members to become Shared-Living Providers for the first time in this waiver. The CMS Technical Guide, states "When payments are to be made to a legal guardian, the waiver should include safeguards for determining that the provision of services by a legal guardian are in the best interest of the waiver participant, especially when the legal guardian exercises decision making authority on behalf of the participant in the selection of waiver providers". DDDS believes that it does not have sufficient infrastructure to guarantee sufficient safeguards for the waiver participant at this time. Once this current change has been approved by CMS, DDDS is willing to work with family members who are guardians and would like to become Share Living Providers to create safeguards to comply with CMS expectations and amend the waiver in the future.

9. It is our belief that DDDS has approved a parent to serve as a prevocational service provider. The waiver document would apparently disallow any relative from serving as a prevocational provider since the "check-off" for relatives is blank. See p. 43. Likewise, a relative could not provide individual supported employment. See p. 49.

*Agency Response:* For each waiver service, DDDS must indicate whether the service is "provider managed" or "participant directed". For the Pre-vocational Service, DDDS has indicated that the service will be provider managed. Agencies that provide this service may hire any individual to provide the direct support as long as they meet the hiring qualifications, such as training or education, possession of a valid driver's license and the criminal background check, etc. Agencies are not prohibited from hiring relatives



of waiver members if they otherwise meet all applicable qualifications. Under the arrangement described above, the box for "Relatives" should not be checked for Prevocational Service in the waiver application.

10. The qualifications for a DDDS case manager are "meager". See p. 70. A high school diploma is not even necessary.

**Agency Response:** The qualifications for the DDDS case managers are the qualifications for the State of Delaware Merit System classification of Senior Social Worker/Case Manager. Qualifications for all State Merit classifications are developed by the Delaware Office of Management and Budget. In addition to the minimum qualifications, case managers must receive a core curriculum of training as specified in DDDS policy after they are hired.

11. Although there is one outlier reference to diversion from a nursing facility, the waiver generally adopts an ICF/IID level of care standard. See pp. 3, 20, 31, and 147. Since some waiver participants could lack an intellectual disability (e.g. DDDS autism eligibility regulation does not require intellectual deficit), the State could consider multiple level of care settings for inclusion in the waiver. For example, the attached December, 2013 DDDS census report lists 37 DDDS clients in nursing homes.

**Agency Response:** This waiver is designed to meet the needs of individuals with an intellectual developmental disability. Therefore, the institutional standard for which the home and community based services offered under this waiver are provided "in lieu of" is the ICF/IID level of care and not a nursing facility level of care. The thirty-seven (37) individuals listed on the DDDS census report that are indicated as residing in nursing facilities are individuals that have been determined to have an intellectual disability as a result of a pre-admission screen (a PASRR Pre-Admission Screening and Resident Review Level 2 screen) and have been determined to need "specialized services" to address their disability. Per OBRA 1987, DDDS is the designated DD authority and is required to provide the specialized services these individuals need. These individuals are eligible for nursing facility services which are provided by a managed care organization under the 1115 waiver in Delaware. Per the terms and conditions of the 1115 waiver, individuals cannot be simultaneously enrolled in the 1115 waiver (which includes the Diamond State Health Plan Plus Long Term Care benefits) and the DDDS waiver. Furthermore, states are prohibited from providing waiver services to a person who resides in an institution per 42 CFR 441.301(b)(1)(i) (see citation below)

*(b) If the agency furnishes home and community-based services, as defined in §440.180 of this subchapter, under a waiver granted under this subpart, the waiver request must—*

*(I) Provide that the services are furnished—*

*(ii) Only to beneficiaries who are not inpatients of a hospital, NF, or ICF/IID;*

12. The waiver document contains multiple recitals that the waiver will limit services to participants to those "not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA)..." See pp. 7, 47, and 49. This may contravene federal law. See attachments. See also 34 C.F.R. §303.222.

**Agency Response:** Per the CMS technical assistance guide, states are required to include the language in question in HCBS waiver applications that include certain statutory services. Language at 42 CFR 440.180 (a)(3)(i) and (ii) contain this prohibition against covering services under a waiver that could otherwise be covered via IDEA or the Rehabilitation Act. The waiver language does not contravene

federal law but is instead in compliance with the law as it applies to all HCBS waivers under Section 1915(c). The regulatory language is excerpted below:

*(3) Services not included. The following services may not be included as habilitation services:*

- (i) Special education and related services (as defined in sections 602(16) and (17) of the Education of the Handicapped Act) (20 U.S.C. 1401 (16) and (17)) that are otherwise available to the individual through a local educational agency.*
- (ii) Vocational rehabilitation services that are otherwise available to the individual through a program funded under section 110 of the Rehabilitation Act of 1973 (29 U.S.C. 730).*

13. The section on restraints (pp. 100 and 103) is not entirely accurate. It recites that the sole standard applied by providers is "Mandt" protocols which limit personal restraints to "the one and two person side body hug and the one and two arm supporting technique." In practice, DDDS has recently authorized some providers (e.g. AdvoServ) to use non-Mandt approved "supine" restraint.

**Agency Response:** Appendix G-2 b. i. of the waiver application indicates that "All contracted providers are required to participate in the Mandt system crisis intervention training or a DDDS approved equivalent." The language referenced by The Council in Appendix G-2 a. i. "Permitted planned personal restraints are limited to the one and two person side body hug and the one and two are supporting technique as described in the Mandt protocol" should have included the additional statement, "or other equivalent procedures and protocols approved by the Division." DDDS will ask CMS for permission to revise this language in the waiver application.

14. The description of case manager activities in connection with ELP development (pp. 71-72) appears to be either inflated or hortatory. The document describes robust pre-planning activities beginning months prior to the actual ELP meeting.

**Agency Response:** The process described in the waiver renewal application is one that has been under development in the Essential Lifestyle Plan (ELP) Committee for several months and is in the process of being tested. The plan is to implement the new process in July 2014, concurrent with the effective date of the renewal application.

15. The waiver previously included reporting to CMS on the offer of choice between institutional and waiver services. DDDS proposes to delete the reporting while continuing to "track" data. See pp. 2 and 6. This is unfortunate since the election is "key" to a central purpose of the waiver, i.e., to divert individuals from institutions. It would be preferable to maintain data reporting to CMS in this context.

**Agency Response:** The requirement for states to offer choice between an institutional or community setting for waiver enrollees is still a requirement under CFR 441.302(d)(2). New guidance issued by CMS in July 2013 regarding quality performance measures that must be reported to CMS on the annual "372" report has removed this measure. DDDS will continue to document that this choice is offered to all waiver applicants.

16. CMS requires the State to project the number of participants in the waiver. See 42 C.F.R. 441.745 amended by 79 Fed Reg. 2948, 3038 (January 16, 2014). The reported authorized number of participants in the waiver may be too low. In year 1, DDDS envisions 1,000 participants. See pp. 22-23 and 147. We

assume this covers the period from July 1, 2014 to June 30, 2015. In contrast, the attached DDDS December, 2013 monthly census report lists 992 clients already receiving community-based residential services. I suspect this number will exceed 1,000 prior to the inception of the waiver.

*Agency Response:* The counts of individuals reported on the DDDS monthly census report as residing in a DDDS community residential placement includes individuals that are not enrolled in the DDDS waiver for which DDDS pays for their care with 100% state general funds. All individuals in the Emergency and High Risk categories on the DDDS Registry who apply for the waiver are screened against the waiver financial eligibility criteria. There is both an income and a resource limit. Some individuals do not meet the waiver income or resource limits, most often because they are receiving Social Security survivor's benefits in excess of the waiver income limit. The Governor and the Legislature have been most generous in appropriating funds each year that enable DDDS to serve these individuals in addition to those individuals who are eligible for the DDDS HCBS waiver. As of January 2014, there were 941 individuals receiving services under the DDDS waiver.

17. The waiver contains "quality" measures which focus on "safety" and absence of abuse/neglect. See pp. 112-119. The waiver would benefit from some measures assessing satisfaction with services and quality of life.

*Agency Response:* After several years of not participating, DDDS has resumed its participation in the National Core Indicators (NCI) project. The annual surveys have been sent to waiver members and the responses are beginning to be received. It is DDDS's plan to include measures from NCI in the waiver in the future, after benchmarks can be established for the measures.

18. DHSS may need to amend its HCBS waiver standards to include safeguards related to leases and protection from eviction. See 42 C.F.R. §441.530 [revised by 79 Fed. Reg. 3032 (January 16, 2014)] and commentary at 79 Fed Reg 2960-61.

*Agency Response:* The new rules become effective March 17, 2014 and apply to new waivers, amendments and renewals which are submitted after that date. The DDDS waiver renewal was submitted to CMS on March 12, 2014 and will not initially be subject to the rule but will be given the opportunity to come into compliance in the future. DDDS will need to undergo a complete assessment of its service system in order to develop a plan to come into compliance with the new rule that will address this in addition to the other requirements.

19. The waiver document (p. 25) contains a countable income cap of 250% of the SSI Federal Benefit Rate (FBR). The State could have elected a "300%" standard. The Council may wish to encourage adoption of the higher benchmark.

*Agency Response:* Delaware has chosen to use the same income standard for all of its long term services and supports to facilitate client movement between settings as their needs change. The current standard is the nursing facility standard of 250% FBR. If the state wishes to raise the income standard, a fiscal note for all HCBS services, including those provided under 1915(c) waivers and also the 1115 waiver that subsumed the former Elderly and Disabled and AIDS waivers, and for all nursing facility services would have to be developed and funded in the state's annual operating budget.



Daniese McMullin-Powell  
State Council for Persons with Disabilities  
April 17, 2014 – Page 9

DHSS/DMMA/DDDS is pleased to provide the opportunity to receive public comments and hopes these responses are helpful.

Sincerely,

A handwritten signature in cursive script that reads "Sharon L. Summers".

Sharon L. Summers, DMMA  
Social Service Administrator

Cc: Stephen M. Groff, Director, DMMA  
Marie Nonnenmacher, Deputy Director, DDDS

**MEMORANDUM OF UNDERSTANDING  
BETWEEN  
THE DEPARTMENT OF SERVICES FOR CHILDREN, YOUTH AND THEIR FAMILIES  
THE DIVISION OF CHILD MENTAL HEALTH SERVICES  
THE DIVISION OF FAMILY SERVICES  
  
AND  
  
THE DEPARTMENT OF HEALTH AND SOCIAL SERVICES  
THE DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES**

**I. PURPOSE**

This cooperative agreement represents an understanding between the Department of Services for Children, Youth, and Their Families, The Division of Child Mental Health Services (DCMHS), The Division of Family Services (DFS), and the Department of Health and Social Services, the Division of Developmental Disabilities Services (DDDS), concerning children and their families served by DCMHS, DFS and DDDS where mental retardation/developmental disabilities (MR/DD), as defined by DDDS eligibility criteria, is suspected or is present. The purpose of this agreement is to delineate the responsibilities of the respective agencies in four areas:

1. Joint planning and services for eligible children and families
2. Residential placement of DFS children in DDDS homes and respite care
3. Developmental assessments of younger children ages 0-3
4. Transition of youth to adult services

This agreement is proposed and executed with the greatest spirit of cooperation and desire for ensuring the safety and welfare of children. All agencies recognize that certain action steps may be altered based on the specific needs of each child.

## Memorandum of Understanding Among DCMHS~DFS~DDDS

### II. AUTHORITY AND RESPONSIBILITIES

#### *A. Authority*

##### 1. The Division of Child Mental Health Services

As required by Title 29 Del. C. Ch. 90 § 9006, the Division of Child Mental Health Services shall be responsible for outpatient and residential mental health, preventive health services, and substance abuse treatment services for children and youth.

##### 2. The Division of Family Services

As required by Title 29 Del. C. Ch. 90 § 9006, Title 16 Del. C. Ch. 9 § 901, and Title 31 Del. C. § 302, shall take necessary action and provide comprehensive protective services for abused and neglected children. The child protection system seeks and promotes the safety of children who are the subject of child abuse and neglect reports.

##### 3. Division of Developmental Disabilities Services – as required by Title 29 Del. C. Ch. 9 § 7909A.

The Division helps the people it serves achieve the quality of life they desire.

The DDDS acknowledges that persons with MR/DD share the same basic rights as all citizens. The DDDS shall facilitate the exercise and protection of such.

#### *B. Responsibilities*

##### 1. **Joint planning and services:** When DFS is involved with a child or family because of child abuse, neglect, and/or dependency and any of the adult individual/caretakers have MR/DD, the following activities will occur:

- a. The DFS caseworker from the appropriate region (Attachment 1) will call the corresponding DDDS Community Services Regional Program Director (RPD). By the end of the working day, the RPD or designee will determine the status of the adult individual/caretaker relative to DDDS services. The information will be reported to DFS within 24 hours.
- b. If the adult individual/caretaker is an open case with DDDS, the DFS case worker and DDDS Family Support Specialist will develop a strategy to provide the most appropriate service to the family, including defining parameters of responsibility. The plan of intervention will include immediate action as well as any follow-up deemed mutually necessary. The DDDS Family Support Specialist shall assist DFS in developing a plan to reduce risk to children in the home while accommodating the support needs



## Memorandum of Understanding Among DCMHS~DFS~DDDS

of the person with MR/DD. A joint service plan shall be developed and signed, outlining the responsibilities of each agency. DDDS and DFS shall convene on a quarterly basis (minimally) to discuss progress and ongoing problems within the family.

- c. If the adult individual/caretaker does not have an open case with DDDS but MR/DD is suspected, the DFS case worker will complete the MR/DD Screening Tool (Attachment 2). If the results of the screening tool indicate that the adult individual/caretaker may have MR/DD, then the procedure outlined in 1.b. (above) of this agreement will be initiated. DDDS will assist the family and DFS prior to the individual's eligibility for DDDS services is formally determined. Within the first 90 days, the adult individual/caretaker must formally apply for DDDS services and be found eligible. If the adult individual/caretaker needs assistance in completing the intake forms and obtaining the needed information, the DDDS worker will help the adult individual/caretaker complete the necessary forms.
  - Both DDDS and DFS will cooperate to minimize separation of the adult individual/caretaker with MR/DD from their children, as long as the safety of the child can be ensured.
  - The Association for Rights of Citizens with Mental Retardation of Delaware (ARC) can be utilized by DFS/DDDS as a referral agent to help support the family.
  - The DDDS will expedite eligibility determination for adults and/or children whose cases fall under this MOU. DDDS services are voluntary and will be offered to the family as long as the family is willing to accept them.
- d. If the adult individual/caretaker is receiving services from DDDS and the DDDS Family Support Specialist becomes aware of the abuse or neglect of children, the DDDS Family Support Specialist will immediately report it to DFS by calling 1-800-292-9582 (Attachment 3). All social service personnel are mandated reporters and are required to report all known or suspected child abuse, neglect, or dependency.
  - DFS uses the Risk Management Methodology to determine both the response time to begin the investigation and the determination of whether the children are at risk. DFS will complete the investigation within 45 calendar days and determine the need for ongoing services to the child and family.
  - DFS and DDDS will work together to develop the most appropriate support plan for the family as noted in 1.a. (above).

## Memorandum of Understanding Among DCMHS~DFS~DDDS

- e. Children open with DFS and/or DCMHS and who may be eligible with DDDS, will be referred by the DFS or DCMHS case manager to DDDS. DDDS will review application and provide a status advisory within 4 business days of receipt of application. If child is subsequently determined eligible for DDDS services, a joint planning meeting will be convened to review service plan within 10 business days of said determination.
  - f. Children whose cases are open with DDDS and who may also be eligible for DCMHS services\* (as defined by DCMHS eligibility criteria) will be referred to DCMHS intake. DCMHS intake process will take place and a response will be issued to the DDDS Family Support Specialist within 4 business days of receipt of complete referral information. If the child is eligible for DCMHS services, a joint planning meeting will be convened to review the service plan within 10 business days. If the child is ineligible for DCMHS services, DDDS can consult with DCMHS regarding appropriate and available services for their purchase.
  - g. Appeals of eligibility will be made pursuant to the DDDS and DCMHS Appeals procedure. A response will be made available within 5 business days. DFS, DCMHS, and DDDS will ensure that applicants are aware of the appeal processes and contacts for appropriate advocacy organizations.
  - h. Regional Managers from DDDS, DCMHS and DFS will meet on a quarterly basis to review specific policy and procedural and problematic cases and issues of mutual concern. Either party can request a meeting at an earlier time if it is case related.
2. **Residential placement of DFS children in DDDS homes and Respite Care:**  
When DFS is involved with a family because of child abuse, neglect, and/or dependency and the child has MR/DD and is placed in a DDDS foster home, the following activities will occur:

In order to receive residential services, the individual must be deemed as an "emergency" on the DDDS Registry and meet the definition for placement. *Emergency is defined as homeless with health and safety issues in the Emergency category of the DDDS Registry.*

- a. The DFS worker will do the following:
  - Complete the DDDS profile application and submit to DDDS intake, including all pertinent requested records.
  - Accompany the child to the placement and move their belongings.
  - Provide the DDDS worker and provider with information about the child.
  - Provide a copy of the custody order and Consent to Treatment Form.

## Memorandum of Understanding Among DCMHS~DFS~DDDS

- Enroll the child in school, and attend IEP meetings.
- Develop the Plan for Child in Care within 30 days of placement. DDDS, the provider, and the child's family (if appropriate) shall participate in the planning.
- Provide services as needed to the child's family in an effort to reach permanency for the child
- Attend Child Placement Review Board (CPRB) meetings and Permanency Hearings
- Obtain an Educational Surrogate Parent if needed
- Enter the child in placement in FACTS (non-contractor provider, no pay)
- Handle all medical consents
- Facilitate applications for public benefits (e.g. Medicaid, SSI, Child Support, etc.)
- Help with special funding issues
- Make funeral arrangements with help from DDDS
- Work with DDDS case manager to address issues and concerns
- Two years in advance, work with DDDS case manager to determine the need for upcoming guardianship needs at age 18

b. The DDDS worker will do the following:

- Complete all DDDS residential paperwork and a Medicaid waiver packet in coordination with the DFS worker
- Meet the DFS worker and child at initial placement
- Visit the home every month
- Visit the school quarterly and attend IEP meetings
- Oversee, with a nurse consultant and provider, that child's medical appointments are kept:
  - a. Specialists as needed
  - b. Dental services
  - c. Immunizations up to date
  - d. Annual physicals
- Attend CPRB meetings and Permanency Hearings
- Complete an annual Essential Lifestyle Plan and forward copy to DFS
- Liaison with Medicaid for specialized equipment; contact DFS for funding as appropriate
- Keep DFS informed of concerns and changes in placement
- Complete all DDDS paperwork:
  - a. Annual home compliance check and contract signatures
  - b. Quarterly reports
  - c. Quarterly RN reports
  - d. Make respite arrangements



## Memorandum of Understanding Among DCMHS~DFS~DDDS

e. Work with the DFS worker to address issues and concerns

- Two years in advance, work with DFS worker to determine the need for upcoming guardianship needs at age of 18

### c. Fiscal responsibility for Residential Placements

- DDDS funding/payments must have prior approval from the DDDS Director of Community Services
- DDDS will be representative payee for SSI and Social Security to the extent consistent with applicable law
- DFS/DCMHS will facilitate the payment process if the DSCYF is the payee
- DDDS will pay Difficulty of Care per new rate system. DFS will pay according to child Level of Care Rate. DCMHS pays according to medical necessity and clinical eligibility. Any costs that exceed the allowable agency rates must be jointly agreed upon. If additional funding is needed for the placement, it will be negotiated among DDDS, DFS, and DCMHS.
- DDDS will designate contact person(s) for all issues related to payments. (Attachment 1)
- At the beginning of the fiscal year, DDDS will submit an annual cost projection for each child residing in a DDDS foster home. This will be followed by an intergovernmental voucher that lists the name of the child and the annual projected cost of care attributed to DFS and DCMHS.
- DMSS client payments will notify the DDDS Director of Client Benefits of all child support payments which are received on children who are served jointly. This notification must occur at least once each quarter.

### d. Respite

#### ▪ When respite occurs with DDDS providers:

- A DDDS respite agreement will be signed before the respite takes place unless an emergency placement is authorized by a DDDS administrator.
- Funding shall be shared in accordance with the established formula, which is reviewed annually. If DCMHS services are involved, continued utilization is monitored regularly to determine ongoing medical necessity.
- DDDS Respite Coordinator shall submit a DFS FACTS Registration Form for each DDDS Respite Provider to the DFS Foster Care Manager to facilitate payment.
- DFS makes respite payments directly to the provider.

## Memorandum of Understanding Among DCMHS~DFS~DDDS

- When respite placement costs exceeds DDDS' rate system limit or requires placement other than foster families:
  - DFS, DCMHS, and DDDS representatives will jointly review the case, possible placements, and determine placement resources. They will also determine which agency will be the lead agency to follow up on the details of arranging the placement.
  - If DDDS does not have a provider, DFS has the option of approving an appropriate provider to provide respite, as they would with any other family active with DFS.
- 3. **Developmental assessments of young children ages 0-3:**

When a child ages 0-3 in the custody of DFS is suspected of or has developmental delays and the parents are not available to initiate Part C services, the DFS worker will make a referral to Child Development Watch (CDW).
- 4. **Transition of youth to adult services:**

When a youth in the custody of DFS and/or receiving services from CMH has been determined eligible to receive DDDS services and is listed in the DDDS *Registry*, the DFS caseworker or CMH caseworker (as appropriate) shall contact by email or letter the DDDS Community Services Regional Program Director (RPD) from the applicable region (Attachment 1) within 30 days following the youth's 16<sup>th</sup> birthday to initiate transition to adult services planning. When a youth in the custody of DFS and/or receiving services from CMH is suspected of having mental retardation/developmental disabilities (MR/DD), as defined by DDDS eligibility criteria, the DFS caseworker or CMH caseworker (as appropriate) will make a referral to the DDDS Office of Applicant Services within 30 days following the youth's 16<sup>th</sup> birthday to initiate the application process and transition to adult services planning. Both scenarios assume discharge from DFS or CMH at age 18.

### III. DISPUTE RESOLUTION

If issues come up that cannot be resolved by the staff working directly with the child and their family, the respective supervisors should be alerted to attempt to resolve the issues. If resolution cannot be accomplished at the supervisory level, then Division liaisons should be contacted to assist in the resolution.

## Memorandum of Understanding Among DCMHS~DFS~DDDS

### IV. CONFIDENTIALITY

The Divisions of Child Mental Health Services, Family Services, and Developmental Disabilities Services agree to exchange client/family information on families and children served by either Division in instances where information exchange is in the best interest of families or children needing or requesting services for either Division. (29 Del. C. §9016)

It is understood that information exchanged by any Division shall be restricted to client/family record reports and documents clearly pertinent to the family's or child's needs or problems. Further, any information exchanged shall only be used to facilitate efficient and timely evaluation, the provision of services and/or resolution of patient/client needs. Each Division assures that the confidential character of exchanged information will be preserved and, under no circumstances will exchanged information be shared with any agency, program or person not party to this agreement without the express written consent of the family or by the authority of Family Court.

*No information in any form can be exchanged about drug or alcohol abuse treatment or sexually transmitted disease information without specific written consent for this information. Information about HIV testing or HIV status can only be shared with specific consent or if the Division of Family Services holds legal custody of that child.*

### V. Administration of Memorandum

Each agency agrees to assign appropriate program staff to serve as the points of contact for the purposes of effective and efficient management of the children and families served under this MOU.

It is expected that these staff will meet on a quarterly basis to ensure that the intent and spirit of this MOU is fully implemented.

MOU Attachments include:

- Attachment 1 – Names and telephone numbers of the staff described in this Memorandum of Understanding (included in this document)
- Attachment 2 – DDDS Quick Screen Tool for Identifying Individuals with a Possible Developmental Disability
- Attachment 3 – Child Abuse/Neglect Mandatory Reporting Form
- Attachment 4 – DCMHS Eligibility Criteria
- Attachment 5 – DDDS Eligibility Criteria



## Memorandum of Understanding Among DCMHS~DFS~DDDS

This agreement is proposed and executed with the greatest spirit of cooperation and desire for client-centered activities. All agencies recognize that certain action steps may be altered based on specific individual's needs.

This Memorandum of Understanding will be reviewed annually.

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Cari DeSantis, Secretary  
Department of Services for Children,  
Youth, & Their Families

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Vincent P. Meconi, Secretary Department  
of Health and Social Services

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Susan Cczyk, Director  
Division of Child Mental Health Services

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Carlyse Giddins, Director  
Division of Family Services

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Marianne Smith, Director  
Division of Developmental Disabilities

**1. Administration of the Memorandum/Staff Contacts**

Each agency has identified a liaison to address interagency issues:

**DCMHS:** Harvey Doppelt, Ph.D.  
Clinical Psychologist  
Community Mental Health Regional Director  
1825 Faulkland Road, Main Administration Building # 2  
Wilmington, DE 19805  
(302) 633-2739

**DFS:** John Bates  
Foster Care Program Manager  
1825 Faulkland Road, Main Administration Building # 2  
Wilmington, DE 19805  
(302) 633-2643

**DMSS:** Theresa Stafford  
Sr. Accountant, Client Payments  
Barley Mill Plaza, Building 18  
4417 Lancaster Pike  
Wilmington, DE 19805  
(302) 892-4532

**DDDS:** Flossie Ford  
Client Benefits Accountant, Fiscal Unit  
Jesse Cooper Building  
Federal and Water Street  
Dover, DE 19901  
(302) 744-9600

**1. New Castle County**

**DFS**

**Elwyn Office**  
321 East 11<sup>th</sup> Street  
Suite 300  
Wilmington, DE 19802  
Phone: (302) 577-3824  
Fax: (302) 577-7793  
Contact: Debbie Colligan  
Assistant Regional  
Administrator

**DDDS**

**Early Intervention Program**  
2055 Limestone Road  
Suite 215  
Wilmington, DE 19808  
Phone: (302) 995-8576  
Fax: (302) 995-8363  
Contact: EIP Director  
Sr. Social Service Administrator

**DCMHS**

**Division Child Mental Health  
Services (DCMHS)**  
**Main Administration**  
1825 Faulkland Road  
Main Administration Building # 2  
Wilmington, DE 19805  
Phone: (302) 633-2739  
Fax: (302) 633-2614  
Contact: Harvey Doppelt, Ph.D.  
Clinical Psychologist  
Community Mental Health  
Regional Director

**1. Administration of the Memorandum/Staff Contacts****1. New Castle County****DFS**

**University Plaza**  
Cambridge Building  
263 Chapman Road  
Newark, DE 19702  
Phone: (302) 451-2800  
Fax: (302) 451-2821  
Contact: Dave Desmond  
Assistant Regional  
Administrator

**DDDS**

**University Plaza**  
Stockton Building  
263 Chapman Road  
Newark, DE 19702  
Phone: (302) 369-2180  
Fax: (302) 368-6596  
Contact: Michael Paoli  
Regional Program Director

**DCMHS**

**University Plaza**  
Cambridge Building  
1825 Faulkland Road  
Main Administration Building # 2  
Wilmington, DE 19805  
Phone: (302) 633-2739  
Fax: (302) 633-2614  
Contact: Harvey Doppelt, Ph.D.  
Clinical Psychologist  
Community Mental Health  
Regional Director

**2. Kent County****DFS**

**Barratt Building**  
821 Silver Lake Boulevard  
Suite 200  
Dover, DE 19904  
Phone: (302) 739-4800  
Fax: (302) 739-6236  
Contact: Diana Fraker  
Assistant Regional  
Administrator

**DDDS**

**Thomas Collins Building**  
540 S. DuPont Highway  
Suite 8  
Dover, DE 19901  
Phone: (302) 744-1110  
Fax: (302) 739-5535  
Contact: Albert Anderson  
Regional Program Director

**DCMHS**

**Georgetown State Service Center**  
546 S. Bedford St.  
Room 2110  
Georgetown, DE 19947  
Phone: (302) 856-5826  
Fax: (302) 856-5824  
Contact: David Lindemer, Ph.D.  
Child Psychologist Supervisor

**3. Sussex County****DFS**

**Georgetown**  
546 South Bedford Street  
Georgetown, DE 19947  
Phone: (302) 856-5450  
Fax: (302) 856-5062  
Contact: Margaret Anderson  
Assistant Regional  
Administrator

**DDDS**

**Georgetown**  
Community Services  
26351 Patriots Way  
Georgetown, DE 19947  
Phone: (302) 933-3135  
Fax: (302) 934-6193  
Contact: Carey Hocker  
Regional Program Director

**DCMHS**

**Georgetown State Service Center**  
546 S. Bedford St.  
Room 2110  
Georgetown, DE 19947  
Phone: (302) 856-5826  
Fax: (302) 856-5824  
Contact: David Lindemer, Ph.D.  
Child Psychologist Supervisor



1. Administration of the Memorandum/Staff Contacts

3. Sussex County

DFS

DDDS

DCMHS

**Pyle**  
Rte. 2, P.O. Box 281-1  
Frankford, DE 19945  
Phone: (302) 732-9510  
Fax: (302) 732-5486  
Contact: Margaret Anderson  
Assistant Regional  
Administrator

**Seaford**  
350 Virginia Avenue  
Seaford, DE 19973  
Phone: (302) 628-2024  
Fax: (302) 628-2041  
Contact: Margaret Anderson  
Assistant Regional  
Administrator

**Milford**  
11-13 Church Avenue  
Milford, DE 19963  
Phone: (302) 422-1400  
Fax: (302) 424-2950  
Contact: Susan Taylor-Walls  
Assistant Regional  
Administrator

4. To Report Child Abuse or Neglect:

Statewide Report

Line Number: 1 (800) 292-9582 (24 hours a day/7 days a week)

2. DDDS Quick Screen Tool

Identifying Individuals with a Possible Developmental Disability

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Address: \_\_\_\_\_

Age: \_\_\_\_\_ Informant/s: \_\_\_\_\_

Screening completed by: \_\_\_\_\_

1. Is there documentation that the individual's deficits or limitations began prior to age 22 (for example: enrolled in special school or program, previous diagnosis of some type of mental retardation, autism, documentation of delays in development, or an IQ below 70)?
2. Does the individual have a high school diploma or a certificate of attendance? If neither, it is clear that the individual did not attend or regularly attend and complete school.
3. Is the individual performing substantially below the level expected for his/her age in two or more of the following adaptive skills areas (see definitions noted on the back of this form)? If so, circle those applicable.
  - a. Communication
  - b. Self-Care
  - c. Home Living
  - d. Social
  - e. Community Use
  - f. Self-Direction
  - g. Health and Safety
  - h. Functional Academics
  - i. Leisure
  - j. Work
4. Is it clear that the individual did not function at a higher or more independent level at a previous time in his/her life?

## 2. DDDS Quick Screen Tool

### Adaptive Skills Areas

- a. Communication: Ability to understand and express information through symbolic behavior (spoken word, written word, sign language, manually coded English) or non-symbolic behaviors (e.g.: facial expressions, body, body movement, touch, gesture).
- b. Self-care: skills involved in toileting, eating, dressing, hygiene, and grooming.
- c. Home living: home-related skills such as cooking, clothing care, housekeeping, food preparation, planning/budgeting for shopping, and home safety.
- d. Social skills related to social interactions with others such as initiating, interacting, and terminating interactions, making choices, coping with demands, confirming conduct to social norms, and displaying appropriate socio-sexual-behavior.
- e. Community use: skills related to the appropriate use of community resources, travel in the community, shopping in stores, purchasing/obtaining services from community businesses, visiting places/events.
- f. Self-Direction: skills related to making choices, learning and following a schedule, engaging in/initiating activities of personal interest that are appropriate to the setting and conditions.
- g. Health and Safety skills: related to the maintenance of own's own health in terms of eating, identification of illness, treatment and prevention, basic first aid, sexuality, physical fitness, and interacting with strangers.
- h. Functional Academics: cognitive abilities and skills related to school that also have direct application in one's life (e.g.: writing, reading, basic science). Of importance is not the grade-level, but that the skills are functional in terms of independent living.
- i. Leisure: the development of a variety of leisure and recreational interests that reflect personal choice and preferences. Skills would be choosing and self-initiating interests, using home and community activities with others and/or alone and determining amount and type of involvement.
- j. Work: skills related to holding a part or full-time job in the community in terms of specific job skills and appropriate social behavior.



3. Child Abuse/Neglect Mandatory Reporting Form

*State of Delaware*  
The Department of Services  
for Children, Youth, and  
Their Families

**DIVISION OF FAMILY SERVICES**  
**CHILD ABUSE/NEGLECT MANDATORY REPORTING FORM**  
(Title 16, Delaware Code, Chapter 9, Subsections 901-914)  
Toll Free 24-Hour Report Line 1-800-292-9582

**INSTRUCTIONS:** Any physician, and any other medical person in the healing arts including any person licensed to render services in medicine, osteopathy, dentistry, any intern, resident, nurse, medical examiner, school employee, social worker, psychologist, or any other person who knows or reasonably suspects child abuse or neglect shall make an oral report to the Report Line using the number at the top of this page in accordance with 16 Del.C. §903.

Within 72 hours after the oral report, send a completed Child Abuse/Neglect Mandatory Reporting Form to the following address: Please type or print the information and sign the form on the back.

**DIVISION OF FAMILY SERVICES - STATE OF DELAWARE**

87 Reads Way  
New Castle, DE 19720-1648

IDENTIFYING INFORMATION				
Child's Name (Last, First, Initial)	Date of Birth Age	Sex	Race	Victim (Yes/No)
1.				
Current Address:				
2.				
Current Address:				
3.				
Current Address:				
4.				
Current Address:				
5.				
Current Address:				
Parents/Custodians/Caretakers' Names (Last, First, Initial)	Date of Birth Age	Sex	Race	Perpetrator (Yes/No)
6. Mother				
Current Address:				
7. Father				
Current Address:				
Custodian/Caretaker (Relationship)				
8.				
Current Address:				
Please specify for numbers 1 - 8 above:				
Foreign language spoken:		If's	Specify type:	
Disabilities:		If's	Specify type:	

Document No.: 37-00-10-03-05-13

Page 1 of 2.

### 3. Child Abuse/Neglect Mandatory Reporting Form

#### DESCRIPTION

1. Describe the child's current condition/injuries and the reason you suspect abuse/neglect. Include evidence, if known, of prior abuse and/or neglect to this child or sibling. Add pages or attach further written documentation as needed.

2. If applicable, note the exact location of any injury by placing a number on the model below. Use the lines to the right of the models to describe the corresponding injury that each number represents. Check the category of injuries below.

Physical Abuse      Sexual Abuse      Physical Neglect

FR - Front, LR - Dorsal, UC - Palmar, UC - Dorsal

3. Actions taken "T" or pending "P"
- Medical Examination      Notification of Police  
 X-Rays      Notification of Medical Examiner  
 Photographs      Other

#### REPORTING SOURCE (CONFIDENTIAL)

Signature \_\_\_\_\_ Title or Relationship to Child \_\_\_\_\_ Date of Report \_\_\_\_\_  
 Facility/Organization \_\_\_\_\_ Address \_\_\_\_\_ Telephone No. \_\_\_\_\_

#### REPORT LINE USE ONLY

Date of Oral Report: \_\_\_\_\_ Report was: \_\_\_\_\_ Accepted \_\_\_\_\_ Rejected  
 Date Written Report Received: \_\_\_\_\_  
 Prior DFS Case Activity/Reports? \_\_\_\_\_ Yes \_\_\_\_\_ No If "yes", specify dates: \_\_\_\_\_

#### 4. DCMHS Eligibility Criteria

*Division of Child Mental Health Services*  
Department of Services for Children Youth and Their Families  
State of Delaware

CS 001      **DCMHS SERVICE ELIGIBILITY**

Authored by: Utilization Management Committee  
Approved by: Susan Cycyk, M.Ed., C.R.C., C.P.R.C.  
Date: November 29, 2006

Title: Division Director  
Originated: 5/01/97 Revisions: 12/19/99; 11/19/03; 8/31/05; 11/29/06

**PURPOSE:** To define eligibility criteria for services provided by the Division of Child Mental Health Services ("DCMHS"), State of Delaware.

**DEFINITIONS:** Applicable definitions are given in the appendix to DCMHS policy "Development and Revision of Policies."

**POLICY:** Consistent with statutory authority (16 Del C. chapter 90), agreement with the State Medicaid Office under the Diamond State Health Plan (DSHP), the HCFA 1115 waiver, DCMHS hereby establishes eligibility criteria for mental health and substance abuse services for children and youth who are served by DCMHS. Eligibility for service is established when criteria 1, 2, 3, and 4 below are all met or when criteria 5 is met.

1. Age: Children and youth are eligible:

A. Up to Age 18 -Children and youth are eligible for services until their 18<sup>th</sup> birthday.

B. Over age 18 -For those youth active with DFS or DYRS and over the age of 18, DCMHS may:

- 1) Manage the case and provide services available through DSCYF consolidated contracts, and/or
- 2) Provide its Consultation and Assessment service for diagnostic services and treatment planning up to age 19.

2. Residence: Delaware residents are eligible for services.

3. Medical Necessity: Medical necessity is established by the application of DCMHS "Level of Care Criteria." These criteria are available on the DCMHS website.

4. Categorical Eligibility:

A. Insurance and Medicaid Benefits: DCMHS services are intended as a primary resource for those who have no other reasonable means to pay for mental health services i.e. individuals who have:

- 1) Medicaid benefits, and require extended services beyond the 30 unit Diamond State Health Plan outpatient benefit or require a higher level of service than is provided by DSHP outpatient benefits, or
- 2) No Medicaid and no private mental health or substance abuse benefits, or
- 3) Exhausted all applicable private insurance mental health or substance abuse benefits.  
Please note that the absence of a level of care or specific provider in a mental health insurance package is not grounds for categorical eligibility.

B Insurance Co-pay: In general, DCMHS does not function as a secondary payor for the purpose of funding insurance co-payment for the privately insured. There are two exceptions:

- 1) If a youth is hospitalized in a DCMHS designated psychiatric hospital on an involuntary basis, or is hospitalized on an emergency basis with DCMHS authorization, and the hospital is unsuccessful in obtaining reimbursement for the private insurance, then DCMHS may reimburse the Provider up to the allowable Contract rate for up to 72 hours.
- 2) If a youth has both private insurance and Medicaid, where the private insurer is the primary payor and Medicaid is the secondary payor, then the parent, legal guardian or other legally liable individual



#### 4. DCMHS Eligibility Criteria

is not responsible for any co-pay amount and by federal regulation private providers may not bill parents for that amount. In such a situation, Medicaid providers who have a contract with DCMHS may be reimbursed up to the Medicaid rate in cases pre-authorized by DCMHS. If the provider and Medicaid recipient wish to utilize any applicable Medicaid coverage to pay costs after the primary insurance has paid allowable charges, the provider must obtain DCMHS authorization for the service prior to the initiation of the service, in addition to any other authorizations which may be required by other payers.

C. Duplicated DSCYF Services: DCMHS provides mental health and substance abuse treatment for children and youth active with another division when the mental health or substance abuse treatment is not available through the other division, or as otherwise specified in an MOU with another DSCYF division.

D. For clients meeting eligibility requirements for DCMHS services, and who also qualify for services from other state agencies, divisions within state agencies, school districts, physical/medical health care services, and/or other services, DCMHS will provide medically necessary mental health and substance abuse services arranged in concert with these other agencies. DCMHS does not provide services that substitute for services which are the responsibility of another agency.

5. Mental Health Crises – Crisis services may be provided to children and youth meeting criteria A. or B. below.

A. DCMHS crisis services and short-term emergency hospitalizations may be provided to non-resident youth under the age of 18 years of age who are in the State of Delaware and are at imminent danger to self or others arising from mental health or substance abuse disorders. DCMHS reserves the right to seek reimbursement for services provided to non-Delaware residents.

B. The DCMHS crisis service also may be utilized by privately insured persons if they meet criteria 1, 2, and 3 above for initial crisis response (excluding crisis bed) intervention, but subsequent treatment is the responsibility of the insurance carrier unless the youth otherwise meets eligibility criteria and is admitted to DCMHS services.

#### **APPLICATION:**

A. The application of this policy in a particular circumstance may be appealed by the affected parent or guardian, custodian or other legal caregiver if the parent is unavailable. (See also DCMHS Appeals Policy).

- 1) Providers and advocates may assist children and families with an appeal under this policy.
- 2) Families will be advised of their appeal rights whenever a client is determined to be ineligible for DCMHS services under this policy.
- 3) When DFS or DYRS has legal custody, staff in disagreement with DCMHS decisions should use the DSCYF case dispute resolution procedures instead of the appeal procedures.

B. DCMHS staff may request a review by the Division Director if application of the policy would yield a result substantially contrary to the combined interests of the State and the client. The decision of the Director will be documented in writing and signed by the Director, and kept on file by the DCMHS Quality Improvement unit.

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4. DCMHS Eligibility Criteria

*DELAWARE DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES  
ELIGIBILITY CRITERIA*

The Division of Developmental Disabilities Services provides services to those individuals whose disability meets all of the following conditions:

- (A) (i) is attributable to mental retardation (1992 AAMR definition) and/or (ii) Autism (DSM IV) and/or (iii) Prader Willi (documented medical diagnosis) and/or (iv) brain injury (individual meets all criteria of the 1992 AAMR definition including age manifestation) and/or (v) is attributable to a neurological condition closely related to mental retardation because such condition results in an impairment of general intellectual functioning and adaptive behavior similar to persons with mental retardation and requires treatment and services similar to those required for persons with impairments of general intellectual functioning;
- (B) is manifested before age 22
- (C) is expected to continue indefinitely;
- (D) results in substantial functional limitations in 2 or more of the following adaptive skill areas
  - 1) communication;
  - 2) self-care;
  - 3) home living;
  - 4) social skills;
  - 5) community use;
  - 6) self-direction;
  - 7) health and safety;
  - 8) functional academics;
  - 9) leisure;
  - 10) work; and
- (E) reflects the need for lifelong and individually planned services.

Intellectual functioning and adaptive behavior is determined by using established standardized tests approved by the Division.

Effective 7-10-2000