**APPENDIX K: Emergency Preparedness and Response and COVID-19 Addendum**

# Background:

**This standalone appendixmay be utilized by the state during emergency situations to request amendments to its approved waiver, to multiple approved waivers in the state, and/or to all approved waivers in the state. It includes actions that states can take under the existing Section 1915(c) home and community-based waiver authority in order to respond to an emergency. Other activities may require the use of various other authorities such as the Section 1115 demonstrations or the Section 1135 authorities.**[**i**](#_bookmark0) **This appendixmay be applied retroactively as needed by the state. Public notice requirements normally applicable under 1915(c) do not apply to information contained in this**

**Appendix.**

**Appendix K-1: General Information**

# General Information:

|  |  |
| --- | --- |
| **A.** | **State:** Massachusetts |

|  |  |  |
| --- | --- | --- |
| **B.** | **Waiver Title(s):** | MFP – Community Living (MFP-CL) Waiver MFP – Residential Supports (MFP-RS) Waiver  Acquired Brain Injury with Residential Habilitation (ABI-RH) Waiver Acquired Brain Injury Non-residential Habilitation (ABI-N) Waiver Traumatic Brain Injury (TBI) Waiver  Frail Elder (FEW) Waiver  Department of Developmental Services Community Living (DDS-CL) Waiver  Department of Developmental Services Intensive Supports (DDS-IS) Waiver Department of Developmental Services Adults Supports (DDS-AS) Waiver |

1. **Control Number(s):**

MA.1027.R01.07 MA.1028.R01.06 MA.40701.R02.07 MA.40702.R02.06 MA.0359.R04.07 MA.0059.R07.06 MA.0826.R02.06 MA.0827.R02.06 MA.0828.R02.06

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

|  |  |
| --- | --- |
| **X** | **Pandemic or Epidemic** |
|  | **Natural Disaster** |
|  | **National Security Emergency** |
|  | **Environmental** |
|  | **Other (specify):** |

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

COVID-19 pandemic. This amendment will apply waiver-wide for each waiver include d in this Appendix, to all individua ls impacted by the virus or the response to the virus (e.g. closure of day programs, etc.)

This application is additive to the previously approved combined Appendix K amendments. This amendment adds temporary rate increases related to Section 9817 of the American Rescue Plan Act to promote workforce development and strengthen the HCBS workforce and address reduced utilization of day program services during the continued federal public health emergency.

1. **Proposed Effective Date : Start Date :** March 1, 2020 **Anticipate d End Date:** Six months after the expiration of the COVID-19 public health emergency.
2. **Description of Transition Plan.**

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

1. **Geographic Are as Affe cted:**

These actions will apply across the waiver to all individua ls impacted by the COVID-19 virus.

1. **Description of State Disaste r Plan (if available ) *Reference to external documents is acceptable:***

N/A

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

# Temporary or Emergency-Specific Amendment to Approved Waiver:

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

1. **\_ \_\_ Access and Eligibility:**
   1. **\_\_\_ Temporarily incre ase the cost limits for entry into the waive r.**

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

* 1. **\_\_\_ Te mporarily modify additional targeting crite ria.**

[Explanation of changes]

1. **\_\_\_ Services**
   1. **\_\_\_ Te mporarily modify se rvice scope or coverage.**

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

* 1. **\_\_\_ Temporarily exceed service limitations (including limits on sets of services as de scribe d in Appe ndix C-4) or re quire ments for amount, duration, and prior authorization to addre ss he alth and welfare issue s pre sented by the emergency.** [Explanation of changes]
  2. **\_\_\_Te mporarily add services to the waiver to addre ss the emergency situation (for example , e me rgency counseling; he ightened case manage me nt to addre ss emergency ne e ds; emergency me dical supplie s and e quipme nt; individually dire cted goods and**

**services; ancillary services to establish temporary reside nces for dislocate d waive r**

**enrollees; necessary technology; e me rgency evacuation transportation outside of the**

**scope of non-emergency transportation or transportation already provide d through the waive r).**

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

* 1. \_\_\_**Temporarily expand setting(s) whe re services may be provide d (e.g. hote ls,**

**she lters, schools, churche s). Note for respite services only, the state should indicate any facility-base d settings and indicate whe the r room and board is include d:**

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

rate]:

* 1. \_\_\_ **Te mporarily provide services in out of state settings (if not already pe rmitted in the state’s approve d waiver).** [Explanation of changes]

1. **\_\_\_ Te mporarily permit payme nt for services rendered by family care givers or le gally responsible individuals if not already pe rmitted unde r the waiver**. Indicate the services to which this will apply and the safeguards to ensure that individua ls receive necessary services as

authorized in the plan of care, and the procedures that are used to ensure that payments are made for services rendered.

1. **\_\_\_ Te mporarily modify provider qualifications (for example , expand provide r pool, te mporarily modify or suspe nd lice nsure and certification re quire me nts).**
   1. **\_\_\_ Temporarily modify provide r qualifications.**

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

* 1. **\_\_\_ Te mporarily modify provide r type s.**

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

* 1. **\_\_\_ Te mporarily modify lice nsure or other re quire ments for settings where waiver services are furnishe d.**

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

1. **\_\_\_Temporarily modify processes for le vel of care evaluations or re -evaluations (within re gulatory re quire ments).** [Describe]
2. **\_\_** **\_ Te mporarily incre ase payme nt rate s.**

*Adding to this subsection the following:*

In the ABI-N Waiver (MA.40702), ABI-RH Waiver (MA.40701), MFP-CL Waiver (MA.1027),

and MFP-RS Waiver (MA.1028), rate enhancements as specified in 101 CMR 447.00: Rates for Certain Home- and Community-based Services Related to Section 9817 of the American Rescue Plan Act for certain dates of service for the waiver services specified, as follows:

* July 1, 2021 – December 31, 2021, an increase of 25% to the base rate for Day Services, plus a 10% add-on calculated from the 125% rate (base rate plus 25%).
* July 1, 2021 – December 31, 2021, an increase of 10% to the base rate for the following services:

Adult Companion, Assisted Living, Chore, Community Support and Navigation,

Community Family Training, Community Based Day Supports, Home Health Aide, Homemaker, Independent Living Supports, Individual Support and Community Habilitation, Occupational Therapy, Orientation and Mobility Services, Peer Support, Personal Care, Physical Therapy, Prevocational Services, Residential Family Training, Residential Habilitation Services, Shared Home Supports, Shared Living – 24 Hour Supports, Skilled Nursing – RN, Specialized Medical Equipment, Speech Therapy, Supported Employment, Transitional Assistance, Transportation, and Supportive Home Care Aide.

The 25% rate enhancement addresses the reduced utilization of day program services during the PHE while the 10% rate add-on for all providers is intended to promote workforce development. Providers are required to utilize the 10% add-on for specific purposes related to workforce development and must report on the use of these funds for that purpose. The 25% rate enhancement is not subject to the allowable use and reporting requirements and can be used for purposes other than workforce development. These requirements are specified in HCBS Waiver Provider Bulletin 12 [download (mass.gov)](https://www.mass.gov/doc/hcbs-waiver-provider-bulletin-12-rate-increases-and-reporting-requirements-for-certain-home-and-community-based-services-related-to-section-9817-of-the-american-rescue-plan-act-0/download).

In the DDS-CL Waiver (MA.0826), DDS-IS Waiver (MA.0827) and DDS-AS Waiver (MA.0828), rate enhancements as specified in 101 CMR 447.00: Rates for Certain Home- and Community-based Services Related to Section 9817 of the American Rescue Plan Act for certain dates of service for the waiver services specified, as follows:

* July 1, 2021 – December 31, 2021, an increase of 10% to the base rate for the following services:

Residential Habilitation (DDS-IS only), Adult Companion, Assistive Technology, Chore, Individualized Home Supports, Community Based Day Supports, Day Habilitation Supplement, Peer Support, Supported Employment, Transportation, Family Training, Respite, Stabilization, Specialized Medical Equipment, and Behavioral Supports and Consultation.

In the TBI Waiver (MA.0359), rate enhancements as specified in 101 CMR 447.00: Rates for Certain Home- and Community-based Services Related to Section 9817 of the American Rescue Plan Act for certain dates of service for the waiver services specified, as follows:

* July 1, 2021 – December 31, 2021, an increase of 10% to the base rate for the following services: Community Based Day Supports, Residential Habilitation, Shared Living – 24 Hour Supports, Adult Companion, Homemaker, Individual Support and Community Habilitation, Supported Employment, Transportation, Respite, Home/Environmental Accessibility Adaptations, and Specialized Medical Equipment.

In the FEW Waiver (MA.0059), rate enhancements as specified in 101 CMR 447.00: Rates for Certain Home- and Community-based Services Related to Section 9817 of the American Rescue Plan Act and as outlined in the guidance ‘EOEA Instructions to Implement the Home and Community-Based Service Enhanced Rate Add-On using American Rescue Plan Act (ARPA) Funding’ for dates of service from July 1, 2021 – December 31, 2021 for waiver services as negotiated by the Aging Services Access Points in accordance with the approved FEW Waiver rate determination methodologies specified in Appendix I-2-a.

* 101 CMR 447.00 provides a rate add-on of 10% to the ASAPs which may be used by the ASAPs to increase service rates for Alzheimer’s/Dementia Coaching, Chore, Companion, Enhanced Technology/Cellular PERS, Environmental Accessibility Adaptations, Evidence Based Education Programs, Goal Engagement Program, Grocery Shopping and Delivery, Home Delivered Meals, Home Delivery of Pre-Packaged Medication, Homemaker, Laundry, Medication Dispensing System, Personal Care, Respite, Supportive Day Program, Supportive Home Care Aide and Transitional Assistance. ASAPs may determine the amount of the increase for each service and

within each service determine the increase for each provider contract. ASAPs must execute contract amendments to their Provider Agreements to implement these rate increases, and must maintain documentation of the prior rates, rate add-ons and the resulting rates and must submit this information to EOEA.

These enhanced rates have been established to advance the Commonwealth’s initiatives related to Section 9817 of the American Rescue Plan Act, specifically to promote workforce development and strengthen the HCBS workforce and address reduced utilization of day program services during the continued federal public health emergency. These rates were authorized in rate regulations (101 CMR 447.00: *Rates for Certain Home-and Community- Based Services Related to Section 9817 of the American Rescue Plan Act*) through an emergency rate promulgation process. All rate increases noted above are for services provided on a fee-for-service basis.

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

1. **\_\_\_ Te mporarily modify pe rson-centere d service plan de velopment proce ss and individual(s) responsible for pe rson-centere d service plan de velopment, including qualifications.**

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

1. **\_ \_\_ Temporarily modify incide nt re porting re quire me nts, me dication manage me nt or othe r participant safeguards to e nsure individual he alth and welfare, and to account for emerge ncy circumstances**. [Explanation of changes]
2. **\_\_ Te mporarily allow for payment for services for the purpose of supporting waive r participants in an acute care hospital or short-te rm institutional stay whe n ne cessary supports (including communication and inte nsive pe rsonal care) are not available in that setting, or whe n the individual re quire s those services for communication and be havioral stabilization, and such services are not covered in such settings.**

[Specify the services.]

1. **\_\_\_ Temporarily include retaine r payme nts to addre ss emergency related issues.**

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

1. **\_\_\_ Temporarily institute or expand opportunitie s for self-dire ction.**

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

1. **\_\_\_ Increase Factor C.**

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

1. \_ \_\_ **Other Change s Necessary [For example , any change s to billing proce sses, use of contracte d e ntitie s or any othe r change s ne eded by the State to addre ss immine nt ne e ds of individuals in the waiver program].** [Explanation of changes]

**Appendix K Addendum: COVID-19 Pandemic Response**

1. **HCBS Regulations**
   1. ☐ Not comply with the HCBS settings requirement at 42 CFR 441.301(c)(4)(vi)(D) that individua ls are able to have visitors of their choosing at any time, for settings added after March 17, 2014, to minimize the spread of infection during the COVID-19 pandemic.
2. **Services**
   1. ☐ Add an electronic method of service delivery (e.g,. telephonic) allowing services to continue to be provided remotely in the home setting for:
      1. ☐ Case management
      2. ☐ Personal care services that only require verbal cueing
      3. ☐ In-home habilitation
      4. ☐ Monthly monitoring (i.e., in order to meet the reasonable indication of need for services requirement in 1915(c) waivers).
      5. ☐ Other *[Describe]:*
   2. ☐ Add home-delivered meals
   3. ☐ Add medical supplies, equipment and appliances (over and above that which is in the state plan)
   4. ☐ Add Assistive Technology
3. **Conflict of Inte rest: The state is responding to the COVID-19 pande mic pe rsonnel crisis by authorizing case manage me nt e ntities to provide dire ct services. The refore, the case management entity qualifies under 42 CFR 441.301(c)(1)(vi) as the only willing and qualifie d e ntity.**
   1. ☐ Current safeguards authorized in the approved waiver will apply to these entities.
   2. ☐ Additional safeguards listed below will apply to these entities.
4. **Provide r Qualifications**
   1. ☐ Allow spouses and parents of minor children to provide personal care services
   2. ☐ Allow a family member to be paid to render services to an individua l.
   3. ☐ Allow other practitioners in lieu of approved providers within the waiver. *[Indicate the providers and their qualifications]*
   4. ☐ Modify service providers for home-delivered meals to allow for additional providers, including non-traditiona l providers.
5. **Processes**
   1. ☐ Allow an extension for reassessments and reevaluations for up to one year past the due date.
   2. ☐ Allow the option to conduct evaluations, assessments, and person-centered service

planning meetings virtually/remote ly in lieu of face-to-face meetings.

* 1. ☐ Adjust prior approval/authorization elements approved in waiver.
  2. ☐ Adjust assessment requirements
  3. ☐ Add an electronic method of signing off on required documents such as the person- centered service plan.

**Contact Person(s)**

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

|  |  |
| --- | --- |
| **First Name:** | Amy |
| **Last Name** | Bernstein |
| **Title:** | Director, Home and Community Based Services Waiver Administration |
| **Agency:** | MassHealth |
| **Address 1:** | One Ashburton Place |
| **Address 2:** | 5th Floor |
| **City** | Boston |
| **State** | MA |
| **Zip Code** | 02108 |
| **Telephone:** | (857) 287-1200 |
| **E-mail** | [Amy.Bernstein@mass.gov](mailto:Amy.Bernstein@mass.gov) |
| **Fax Number** | Click or tap here to enter text. |

1. **If applicable , the State ope rating age ncy re pre sentative with whom CMS should communicate regarding the waive r is:**

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

**8. Authorizing Signature**

|  |  |
| --- | --- |
| **Signature:**  **/S/** | **Date:**  **11/18/2021** |
| State Medicaid Director or Designee |  |

|  |  |
| --- | --- |
| **First Name:** | Amanda |
| **Last Name** | Cassel Kraft |
| **Title:** | Medicaid Director |
| **Agency:** | MassHealth |
| **Address 1:** | One Ashburton Place |
| **Address 2:** | 11th Floor |
| **City** | Boston |
| **State** | MA |
| **Zip Code** | 02108 |
| **Telephone:** | (617) 573-1600 |
| **E-mail** | [Amanda.Casselkraft@mass.gov](mailto:Amanda.Casselkraft@mass.gov) |
| **Fax Number** | Click or tap here to enter text. |

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

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

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

i Numerous changes that the state may want to make may necessitate authority outside of the scope of section 1915(c) authority.

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