

*****Proposed New Rule - June 2, 2016*****

5123:2-9-14 Home and community-based services waivers - vocational habilitation under the individual options, level one, and self-empowered life funding

(A) Purpose

This rule defines vocational habilitation and sets forth provider qualifications, requirements for service delivery and documentation of services, and payment standards for the service. The expected outcome of vocational habilitation is the advancement of an individual on his or her path to community employment in accordance with rule 5123:2-2-05 of the Administrative Code and the individual's achievement of competitive integrated employment in a job well-matched to the individual's interests, strengths, priorities, and abilities.

(B) Definitions

- (1) "Adult day support" has the same meaning as in rule 5123:2-9-17 of the Administrative Code.
- (2) "Agency provider" means an entity that directly employs at least one person in addition to the chief executive officer for the purpose of providing services for which the entity must be certified in accordance with rule 5123:2-2-01 of the Administrative Code.
- (3) "Budget limitation" has the same meaning as in rule 5123:2-9-19 of the Administrative Code.
- (4) "Career planning" has the same meaning as in rule 5123:2-9-13 of the Administrative Code.
- (5) "Competitive integrated employment" means work (including self-employment) that is performed on a full-time or part-time basis:
 - (a) For which an individual is:
 - (i) Compensated:
 - (a) At a rate that shall be not less than the higher of the rate specified in the Fair Labor Standards Act of 1938, 29 U.S.C. 206(a)(1), as in effect on the effective date of this rule, or the rate specified in the applicable state or local minimum wage law; and is not less than the customary rate paid by the employer for the same or similar work performed by other employees who do not have disabilities, and who are in similar occupations by the same employer and who have similar training, experience, and skills; or
 - (b) In the case of an individual who is self-employed, yields an income that is comparable to the income received by persons without disabilities, who are self-employed in similar occupations or on similar tasks and who have

*****Proposed New Rule - June 2, 2016*****

similar training, experience, and skills; and

- (ii) Eligible for the level of benefits provided to other employees;
 - (b) At a location where the individual interacts with persons without disabilities to the same extent as employees who are not receiving home and community-based services;
 - (c) That is not performed in:
 - (i) Dispersed enclaves in which individuals work in a self-contained unit within a company or service site in the community or perform multiple jobs in the company, but are not integrated with non-disabled employees of the company; or
 - (ii) Mobile work crews comprised solely of individuals operating as distinct unit and/or self-contained business working in several locations within the community; and
 - (d) That, as appropriate, presents opportunities for advancement that are similar to those for persons without disabilities who have similar positions.
- (6) "County board" means a county board of developmental disabilities.
- (7) "Department" means the Ohio department of developmental disabilities.
- (8) "Fifteen-minute billing unit" means a billing unit that equals fifteen minutes of service delivery time or is greater or equal to eight minutes and less than or equal to twenty-two minutes of service delivery time.
- (9) "Group employment support" has the same meaning as in rule 5123:2-9-16 of the Administrative Code.
- (10) "Independent provider" means a self-employed person who provides services for which he or she must be certified in accordance with rule 5123:2-2-01 of the Administrative Code and does not employ, either directly or through contract, anyone else to provide the services.
- (11) "Individual" means a person with a developmental disability or for purposes of giving, refusing to give, or withdrawing consent for services, his or her guardian in accordance with section 5126.043 of the Revised Code or other person authorized to give consent.
- (12) "Individual employment support" has the same meaning as in rule 5123:2-9-15 of the Administrative Code.
- (13) "Individual service plan" means the written description of services, supports, and activities to be provided to an individual.

*****Proposed New Rule - June 2, 2016*****

- (14) "Mentor" means a person employed by or under contract with the agency provider who has experience providing direct services to persons with developmental disabilities and who is available on a regular basis to provide guidance to new direct support staff regarding techniques and practices that enhance the effectiveness of the direct provision of vocational habilitation.
- (15) "Service and support administrator" means a person, regardless of title, employed by or under contract with a county board to perform the functions of service and support administration and who holds the appropriate certification in accordance with rule 5123:2-5-02 of the Administrative Code.
- (16) "Service documentation" means all records and information on one or more documents, including documents that may be created or maintained in electronic software programs, created and maintained contemporaneously with the delivery of services, and kept in a manner as to fully disclose the nature and extent of services delivered that shall include the items delineated in paragraph (E) of this rule to validate payment for medicaid services.
- (17) "Vocational habilitation" means services that provide learning and work experiences, including volunteer work, where the individual develops general skills that lead to competitive integrated employment such as ability to communicate effectively with supervisors, coworkers, and customers; generally-accepted community workplace conduct and dress; ability to follow directions; ability to attend to tasks; workplace problem-solving skills and strategies; and workplace safety and mobility training. Services are expected to occur over a defined period of time with specific outcomes to be achieved determined by the individual and his or her team. Activities that constitute vocational habilitation include, but are not limited to:
- (a) Ongoing support which includes direct supervision, telephone and/or in-person monitoring and/or counseling, and the provision of some or all of the following supports to promote the development of general work skills.
 - (i) Developing a systematic plan of instruction and support, including task analyses to prepare the individual for competitive integrated employment.
 - (ii) Assisting the individual to perform activities that result in increasing his or her social integration with other individuals and persons employed at the worksite.
 - (iii) Supporting and training the individual in the use of individualized or community-based transportation services.
 - (iv) Providing services and training that assist the individual with problem-solving and meeting job-related expectations.
 - (v) Assisting the individual to use natural supports and community resources.
 - (vi) Providing training to the individual to maintain current skills, enhance

*****Proposed New Rule - June 2, 2016*****

personal hygiene, learn new work skills, attain self-determination goals, and improve social skills.

(vii) Developing and implementing a plan to assist the individual to transition from his or her vocational habilitation setting to competitive integrated employment emphasizing the use of natural supports.

(viii) Assisting the individual with self-medication or provision of medication administration for prescribed medication and assisting the individual with or performing health-related activities in accordance with Chapter 5123:2-6 of the Administrative Code.

(b) Provision of information about or referral to career planning services, disability benefits services, or other appropriate consultative services.

(C) Provider qualifications

(1) Vocational habilitation shall be provided by an agency provider that meets the requirements of this rule and that has a medicaid provider agreement with the Ohio department of medicaid.

(2) Vocational habilitation shall not be provided by an independent provider.

(3) An applicant seeking approval to provide vocational habilitation shall complete and submit an application and adhere to the requirements of rule 5123:2-2-01 of the Administrative Code.

(4) An agency provider shall ensure that direct services staff who provide vocational habilitation successfully complete, no later than ninety days after hire, an orientation program of at least eight hours that addresses, but is not limited to:

(a) Organizational background of the agency provider, including:

(i) Mission, vision, values, principles, and goals;

(ii) Organizational structure;

(iii) Key policies, procedures, and work rules;

(iv) Ethical and professional conduct and practice;

(v) Avoiding conflicts of interest; and

(vi) Working effectively with individuals, families, and other team members.

(b) Components of quality care for individuals served, including:

(i) Interpersonal relationships and trust;

(ii) Cultural and personal sensitivity;

*****Proposed New Rule - June 2, 2016*****

- (iii) Effective communication;
 - (iv) Person-centered philosophy, planning, and practice;
 - (v) Development of individual service plans;
 - (vi) Roles and responsibilities of team members; and
 - (vii) Record keeping including progress notes and incident/accident reports.
- (c) Health and safety, including:
- (i) Signs and symptoms of illness or injury and procedure for response;
 - (ii) Building/site-specific emergency response plans; and
 - (iii) Program-specific transportation safety.
- (d) Positive behavioral support, including:
- (i) Principles of positive intervention culture;
 - (ii) Role of direct service staff in creating a positive culture;
 - (iii) General requirements for intervention strategies and behavioral support strategies and direct service staff role including documentation;
 - (iv) Human rights committees; and
 - (v) Crisis intervention techniques.
- (e) Services that comprise vocational habilitation as it is defined in this rule including the expectation that vocational habilitation will eventually lead to competitive integrated employment.
- (5) An agency provider shall ensure that direct services staff who provide vocational habilitation (other than those who have at least one year of experience providing vocational habilitation at the point of hire), during the first year after hire are assigned and have access to a mentor.
- (6) An agency provider shall ensure that direct services staff who provide vocational habilitation (other than those who have at least one year of experience providing vocational habilitation at the point of hire), no later than one year after hire successfully complete at least eight hours of training specific to the provision of vocational habilitation that includes, but is not limited to:
- (a) Skill building in advancement of individuals on the path to community employment as described in rule 5123:2-2-05 of the Administrative Code and development of individuals' strengths and skills necessary for competitive integrated employment; and

*****Proposed New Rule - June 2, 2016*****

- (b) Self-determination which includes assisting the individual to develop self-advocacy skills, to exercise his or her civil rights, to exercise control and responsibility over the services he or she receives, and to acquire skills that enable him or her to become more independent, productive, and integrated within the community.
- (7) An agency provider shall ensure that each direct services staff member who provides vocational habilitation successfully completes on-the-job training specific to each individual he or she serves that includes, but is not limited to:
- (a) Requirements set forth in the individual service plan including skill development goals, service/support activities, planned interventions, behavioral support strategy, and related documentation requirements;
 - (b) The individual's preferences and strengths;
 - (c) The individual's diagnoses and related needs;
 - (d) The individual's care needs including nutrition, diet and mealtime support, restroom assistance, mobility needs, lifting, and general supervision/support requirements;
 - (e) Medication administration and delegated nursing, as applicable;
 - (f) Teaching techniques and related documentation requirements; and
 - (g) The employee's or contractor's role regarding management of the individual's funds and related documentation requirements.
- (8) An agency provider shall ensure that direct services staff who provide vocational habilitation, commencing in the second year of hire by the agency provider, annually complete at least eight hours of training, in accordance with the written plan of training priorities described in paragraph (C)(9) of this rule.
- (a) The training shall enhance the skills and competencies of the direct services staff member relevant to his or her job responsibilities and shall include, but is not limited to:
 - (i) The rights of individuals set forth in sections 5123.62 to 5123.64 of the Revised Code;
 - (ii) The requirements of rule 5123:2-17-02 of the Administrative Code including a review of health and welfare alerts issued by the department since the previous year's training;
 - (iii) The requirements relative to the direct services staff member's role in providing behavioral support to the individuals he or she serves; and
 - (iv) Best practices related to the provision of vocational habilitation.

*****Proposed New Rule - June 2, 2016*****

- (b) The training may be structured or unstructured and may include, but is not limited to, lectures, seminars, formal coursework, workshops, conferences, demonstrations, visitations or observations of other facilities/services/programs, distance and other means of electronic learning, video and audio-visual training, and staff meetings.
 - (9) An agency provider shall develop and implement a written plan identifying training priorities for direct services staff who provide vocational habilitation. The training priorities shall be consistent with the needs of individuals served, best practice, and the provider's mission, vision, and strategic plan. The written plan of training priorities shall describe the method (e.g., written test, skills demonstration, or documented observation by supervisor) that will be used to establish competency in areas of training. The written plan of training priorities shall be updated at least once every twelve months and shall identify who is responsible for arranging or providing the training and projected timelines for completion of the training.
 - (10) An agency provider shall ensure that a written record of training completed for direct services staff who provide vocational habilitation is maintained. The written record shall include a description of the training completed including a training syllabus and copies of training materials, the date of training, the duration of training, and the instructor's name, if applicable.
 - (11) Failure to comply with this rule and rule 5123:2-2-01 of the Administrative Code may result in denial, suspension, or revocation of the provider's certification.
- (D) Requirements for service delivery
- (1) The expected outcome of vocational habilitation is the advancement of an individual on his or her path to community employment in accordance with rule 5123:2-2-05 of the Administrative Code and the individual's achievement of competitive integrated employment in a job well-matched to the individual's interests, strengths, priorities, and abilities.
 - (2) Vocational habilitation is available to individuals who are no longer eligible for educational services based on their graduation and/or receipt of a diploma or equivalency certificate and/or their permanent discontinuation of educational services within parameters established by the Ohio department of education.
 - (3) Vocational habilitation shall be provided pursuant to a person-centered individual service plan that conforms to the requirements of rules 5123:2-1-11 and 5123:2-2-05 of the Administrative Code and shall be coordinated with other services and supports set forth in the individual service plan. Individuals receiving vocational habilitation shall have community employment outcomes in their individual service plan; vocational habilitation activities shall be designed to support the individual's community employment outcomes.

*****Proposed New Rule - June 2, 2016*****

- (4) Vocational habilitation may be provided in a variety of settings in the community, but shall not be furnished in the individual's residence or other residential living arrangement.
 - (5) A provider of vocational habilitation shall complete reports and collect and submit data via the department's employment tracking system in accordance with rule 5123:2-2-05 of the Administrative Code.
 - (6) The service and support administrator shall ensure that documentation is maintained to demonstrate that the service provided as vocational habilitation to an individual enrolled in a waiver is not otherwise available as vocational rehabilitation services funded under section 110 of the Rehabilitation Act of 1973, 29 U.S.C. 730, as in effect on the effective date of this rule.
 - (7) Individuals receiving vocational habilitation shall be compensated in accordance with applicable federal and state laws and regulations. A determination that an individual receiving vocational habilitation is eligible to be paid at special minimum wage rates in accordance with 29 C.F.R. Part 525, "Employment of Workers with Disabilities Under Special Certificates," shall be based on documented evaluations and assessments.
 - (8) A provider of vocational habilitation shall ensure that appropriate staff are knowledgeable about the Workforce Innovation and Opportunity Act, wage and hour laws, benefits, work incentives, and employer tax credits for individuals with developmental disabilities and ensure that individuals served receive this information.
 - (9) A provider of vocational habilitation shall comply with applicable laws, rules, and regulations of the federal, state, and local governments pertaining to the physical environment (building and grounds) where vocational habilitation is provided. A provider of vocational habilitation shall be informed of and comply with standards (e.g., Americans with Disabilities Act of 1990) applicable to the service setting.
 - (10) A provider of vocational habilitation shall recognize changes in the individual's condition and behavior as well as safety and sanitation hazards, report to the service and support administrator, and record the changes in the individual's written record.
- (E) Documentation of services
- Service documentation for vocational habilitation shall include each of the following to validate payment for medicaid services:
- (1) Type of service.
 - (2) Date of service.
 - (3) Place of service.
 - (4) Name of individual receiving service.

*****Proposed New Rule - June 2, 2016*****

- (5) Medicaid identification number of individual receiving service.
 - (6) Name of provider.
 - (7) Provider identifier/contract number.
 - (8) Written or electronic signature of the person delivering the service, or initials of the person delivering the service if a signature and corresponding initials are on file with the provider.
 - (9) Description and details of the services delivered that directly relate to the services specified in the approved individual service plan as the services to be provided.
 - (10) Times the delivered service started and stopped.
 - (11) Number of units of the delivered service.
- (F) Payment standards
- (1) The billing units, service codes, and payment rates for vocational habilitation are contained in appendix A to this rule. Payment rates are based on the county cost-of-doing-business category. The cost-of-doing-business category for an individual is the category assigned to the county in which the service is actually provided for the preponderance of time. The cost-of-doing-business categories are contained in appendix B to this rule.
 - (2) Payment for adult day support, career planning, group employment support, individual employment support, and vocational habilitation, alone or in combination, shall not exceed the budget limitations contained in appendix B to rule 5123:2-9-19 of the Administrative Code.
 - (3) Payment rates for vocational habilitation may be modified to reflect the needs of individuals requiring behavioral support and/or medical assistance in accordance with paragraphs (F)(3)(a) and (F)(3)(b) of this rule. Upon determination by the county board that the individual meets the criteria, the county board shall recommend and implement rate modifications for behavioral support and/or medical assistance. Rate modifications are subject to review by the department. The duration of approval for behavioral support and/or medical assistance rate modifications shall be limited to the individual's waiver eligibility span, may be determined needed or no longer needed within that waiver eligibility span, and may be renewed annually.
 - (a) The behavioral support rate modification shall be paid during all times when vocational habilitation is provided to an individual who qualifies for the modification. The amount of the behavioral support rate modification for each fifteen-minute billing unit of service is contained in appendix A to this rule.
 - (i) The purpose of the behavioral support rate modification is to provide funding

*****Proposed New Rule - June 2, 2016*****

for the implementation of behavioral support strategies by staff who have the level of training necessary to implement the strategies.

- (ii) In order for an individual to receive the behavioral support rate modification, the following conditions shall be met:
 - (a) The individual has been assessed within the last twelve months to present a danger to self or others or have the potential to present a danger to self or others; and
 - (b) A behavioral support strategy that is a component of the individual service plan has been developed in accordance with the requirements in rules established by the department; and
 - (c) The individual receives ongoing behavioral support services from a licensed, certified, or other specially trained professional to address the identified behavior; and
 - (d) The individual either:
 - (i) Has a response of "yes" to at least four items in question thirty-two of the behavioral domain of the Ohio developmental disabilities profile; or
 - (ii) Requires a structured environment that, if removed, will result in the individual's engagement in behavior destructive to self or others.
 - (iii) When determined through the individual service plan development process that the conditions specified in paragraph (F)(3)(a)(ii) of this rule have been met, the county board shall apply the behavioral support rate modification for vocational habilitation. The department retains the right to review and validate the qualifications of any provider of ongoing behavioral support services.
- (b) The medical assistance rate modification shall be paid during all times when vocational habilitation is provided to an individual who qualifies for the modification. The amount of the medical assistance rate modification for each fifteen-minute billing unit of service is contained in appendix A to this rule. The county board shall apply the medical assistance rate modification when the following criteria have been met:
- (i) An individual requires routine feeding and/or the administration of prescribed medications through gastrostomy and/or jejunostomy tubes, and/or requires the administration of routine doses of insulin through subcutaneous injections and insulin pumps; or

*****Proposed New Rule - June 2, 2016*****

- (ii) An individual requires oxygen administration that a licensed nurse agrees to delegate in accordance with rules in Chapter 4723-13 of the Administrative Code; or
 - (iii) An individual requires a nursing procedure or nursing task that a licensed nurse agrees to delegate in accordance with rules in Chapter 4723-13 of the Administrative Code, which is provided in accordance with section 5123.42 of the Revised Code, and when such procedure or nursing task is not the administration of oral prescribed medication or topical prescribed medication or a health-related activity as defined in rule 5123:2-6-01 of the Administrative Code.
- (4) Payment rates for vocational habilitation shall be modified when the service is provided in integrated settings in groups of four or fewer individuals and the staff providing the service have demonstrated enhanced competency by successfully completing a department-administered program of instruction. The amount of the community integration rate modification for each fifteen-minute billing unit of service is contained in appendix A to this rule.

Proposed New Rule - June 2, 2016

APPENDIX A

BILLING UNITS, SERVICE CODES, AND PAYMENT RATES FOR VOCATIONAL HABILITATION

Billing Unit: Fifteen minutes

Service Codes:

When Provided in Integrated Settings in Groups of Four or Fewer
Individuals by Staff who Have Demonstrated Enhanced Competency

Individual Options Waiver	AVE
Level One Waiver	FVE
Self-Empowered Life Funding Waiver	SVE

Otherwise Provided

Individual Options Waiver	AVF
Level One Waiver	FVF
Self-Empowered Life Funding Waiver	SVF

Payment Rates: Listed below by cost-of-doing-business (CODB) category. Rates are presented on a per-person basis, segregated by group assignment. Rates shall not be further altered to reflect actual group size.

CODB Category	Group A	Group A-1	Group B	Group C
1	\$1.58	\$1.19	\$2.84	\$4.73
2	\$1.59	\$1.20	\$2.87	\$4.78
3	\$1.61	\$1.21	\$2.90	\$4.83
4	\$1.63	\$1.22	\$2.93	\$4.88
5	\$1.64	\$1.23	\$2.96	\$4.93
6	\$1.66	\$1.25	\$2.99	\$4.98
7	\$1.68	\$1.26	\$3.02	\$5.02
8	\$1.69	\$1.27	\$3.04	\$5.07

*****Proposed New Rule - June 2, 2016*****

Behavioral Support Rate Modification

Billing Unit: Fifteen minutes

Rate Modification Amount: \$ 0.63

Instructions: Indicate modification on the cost projection and payment authorization.

Medical Assistance Rate Modification

Billing Unit: Fifteen minutes

Rate Modification Amount: \$ 0.12

Instructions: Indicate modification on the cost projection and payment authorization.

Community Integration Rate Modification

Billing Unit: Fifteen minutes

Rate Modification Amount: \$ 0.52

Instructions: Indicate modification on the cost projection and payment authorization.

*****Proposed New Rule - June 2, 2016*****

APPENDIX B

COST-OF-DOING-BUSINESS CATEGORIES

Category 1: Adams
Athens
Belmont
Gallia
Guernsey
Harrison
Jefferson
Meigs
Monroe
Pike
Ross
Scioto
Tuscarawas
Vinton
Washington

Category 2: Carroll
Crawford
Defiance
Highland
Hocking
Jackson
Lawrence
Mercer
Morgan
Muskingum
Noble
Paulding
Perry
Van Wert
Wyandot

*****Proposed New Rule - June 2, 2016*****

Category 3: Allen
Auglaize
Brown
Clinton
Columbiana
Coshocton
Fayette
Hancock
Holmes
Knox
Marion
Morrow
Putnam
Richland
Seneca
Shelby
Williams

Category 4: Ashland
Darke
Erie
Fairfield
Fulton
Hardin
Henry
Huron
Licking
Logan
Mahoning
Pickaway
Sandusky
Stark
Trumbull
Wood

*****Proposed New Rule - June 2, 2016*****

Category 5: Ashtabula
Champaign
Clark
Delaware
Greene
Lucas
Madison
Miami
Montgomery
Ottawa
Preble
Union
Wayne

Category 6: Clermont
Franklin
Geauga
Lake
Lorain
Medina
Portage
Summit

Category 7: Butler
Cuyahoga
Warren

Category 8: Hamilton