

**Rules for the Division of Developmental Disabilities Services**  
**Community and Employment Support (CES) Agency Providers**

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## **Subchapter 1.        General.**

### **101.    Authority.**

These standards are promulgated under the authority of Ark. Code Ann. § 20-76-201, and Ark. Code Ann. §§ 20-48-101 to -1108.

### **102.    Purpose.**

The purpose of these standards is to:

- (1)    Serve as the minimum standards for community providers delivering services to beneficiaries enrolled in the Arkansas 1915(c) home and community-based waiver number AR.0188, which is known as the Community and Employment Support Waiver (CES Waiver); and
- (2)    Ensure the health and safety of beneficiaries who are enrolled in the CES Waiver.

### **103.    Definitions.**

- (a)    “Adverse agency action” means:
  - (1)    A denial of an application for CES Waiver Service certification;
  - (2)    Any enforcement action taken by DDS pursuant to sections 803 through 807; and
  - (3)    Any other adverse regulatory action or claim covered by the Medicaid Fairness Act, Ark. Code Ann §§ 20-77-1701 to -1718.
- (b)    “Alternative living home” means beneficiary residential setting that is not owned, leased, or controlled by the beneficiary, the beneficiary’s legal guardian, or a family member of the beneficiary.
- (c)    “Applicant” means an applicant for CES Waiver Service certification.
- (d)    “Beneficiary” means an individual receiving one (1) or more CES Waiver Services.
- (e)    “Business Day” means Monday through Friday, except for any day that is recognized as a holiday by the State of Arkansas.

- (f) “Change of ownership” means any fifty percent (50%) or greater change in the financial interests, governing body, operational control, or other operational or ownership interests of a Provider within a twelve (12) month period.
- (g) “CES Waiver” means the Arkansas 1915(c) home and community-based waiver number AR.0188, which is known as the Community and Employment Support Waiver.
- (h) “CES Waiver Service” means one of the following services each as defined in section 220.000 of the Home and Community-Based Services for Client with Intellectual Disabilities and Behavioral Health Needs Medicaid Manual and the CES Waiver:
- (1) Respite;
  - (2) Supported Employment;
  - (3) Supportive Living;
  - (4) Specialized Medical Supplies;
  - (5) Adaptive Equipment;
  - (6) Community Transition Services;
  - (7) Consultation;
  - (8) Environmental Modifications; and
  - (9) Supplemental Support.
- (i) “Chemical restraint” means the use of medication or any drug that:
- (1) Is administered to manage a beneficiary’s behavior;
  - (2) Has the temporary effect of restricting the beneficiary; and
  - (3) Is not a standard treatment for the beneficiary’s medical or psychiatric condition.
- (j) “DDS” means the Arkansas Department of Human Services, Division of Developmental Disabilities Services, or its delegatee.
- (k) “DMS” means the Arkansas Department of Human Services, Division of Medical Services.
- (l) “Directed in-service training plan” means a plan of action that:
- (1) Provides training to a Provider to correct non-compliance with these standards;

- (2) Establishes the topics covered and materials used in the training;
- (3) Specifies the length of the training;
- (4) Specifies the employees required to attend the training; and
- (5) Is approved by DDS.

(m)

- (1) “Employee” means an employee or other agent of a Provider who has or will have direct contact with a beneficiary or their personal property or funds, including without limitation any employee, independent contractor, sub-contractor, intern, volunteer, trainee, or agent.
- (2) “Employee” does not mean an independent contractor if:
  - (A) The independent contractor does not assist in the day-to-day operations of Provider; and
  - (B) The independent contractor has no beneficiary contact.

(n)

- (1) “Licensed professional” means a person who holds a State of Arkansas professional certificate or license in good standing that is operating within the scope of practice of their license or certification.
- (2) “Licensed professional” includes without limitation the following independently licensed or certified professionals: general contractor, physician, psychiatrist, psychologist, social worker, psychological examiner, parent educator, communication and environmental control specialist, behavior support specialist, professional counselor, behavioral analyst, master social worker, licensed practical nurse, registered nurse, speech-language pathologist, dietician, occupational therapist, physical therapist, and recreational therapist.

(o)

- (1) “Market” means the accurate and honest advertisement of a Provider that does not also constitute an attempt to solicit.
- (2) “Market” includes without limitation:
  - (A) Advertising using traditional media;



- (B) Distributing brochures or other informational materials regarding the services offered by a Provider;
  - (C) Conducting tours of a Provider to interested beneficiaries and their families;
  - (D) Mentioning services offered by a Provider in which a beneficiary or their family might have an interest; and
  - (E) Hosting informational gatherings during which the services offered by a Provider are described.
- (p) “Mechanical restraint” means the use of any device attached or adjacent to a beneficiary that:
  - (1) The beneficiary cannot easily remove; and
  - (2) Restricts the beneficiary’s freedom of movement.
- (q) “Medication error” means any one of the following:
  - (1) Loss of medication;
  - (2) Unavailability of medication;
  - (3) Falsification of medication logs;
  - (4) Theft of medication;
  - (5) Missed dose of medication;
  - (6) Incorrect medications administered;
  - (7) Incorrect dose of medication administered;
  - (8) Incorrect time of medication administration;
  - (9) Incorrect route of medication administration; and
  - (10) The discovery of an unlocked medication container that is always supposed to be locked.
- (r) “Mental health professional” or “MHP” means a person who holds an Arkansas professional license in good standing to provide one or more of the services set out in the Counseling Services Medicaid manual.

- (s) “Non-clinical treatment plan” means a Provider’s written, individualized service plan for a beneficiary, outlining the specific method and goals for CES Waiver Services delivery by Provider.
- (t) “PASSE” means a beneficiary’s assigned Provider-led Arkansas Shared Savings Entity.
- (u) “PCSP” means a person-centered service plan, which is a written, individualized service and support plan developed by the beneficiary’s PASSE care coordinator, which sets out the home and community-based services to be received by a beneficiary.
- (v) “Plan of correction” means a plan of action that:
  - (1) Provides the steps a Provider must take to correct noncompliance with these standards;
  - (2) Establishes a timeframe for each specific action included in the plan; and
  - (3) Is approved by DDS.
- (w) “Provider” means an individual, organization, or entity certified to provide one or more CES Waiver Services.
- (x) “Provider owned, leased, or controlled CES Waiver Service residential setting” means any residential setting that is owned, leased, or controlled by a Provider within the meaning of the CBS Home and Community-Based Services Settings Final Rule, 79 Federal Register 2948 (2014).
- (y)
  - (1) “Restraint” means the application of force for the purpose of restraining the free movement of a beneficiary, which includes without limitation any chemical restraint and mechanical restraint.
  - (2) “Restraint” does not include:
    - (A) Briefly holding, without undue force, a beneficiary to calm or comfort the beneficiary; or
    - (B) Holding a beneficiary’s hand to safely escort the beneficiary from one area to another.
- (z) “Risk mitigation plan” means an individualized risk management plan developed by a beneficiary’s PASSE care coordinator that outlines a beneficiary’s risk factors and the action steps that must be taken to mitigate those risks.

- (aa) “Seclusion” means the involuntary confinement of a beneficiary alone or in a room or area from which the beneficiary is physically prevented from leaving.
- (bb) “Serious injury” means any injury to a beneficiary that:
- (1) May cause death;
  - (2) May result in substantial permanent impairment;
  - (3) Requires hospitalization; or
  - (4) Requires the attention of:
    - (A) An emergency medical technician;
    - (B) A paramedic; or
    - (C) An emergency room.
- (cc)
- (1) “Solicit” means when a Provider intentionally initiates contact with a beneficiary (or their family) that is currently receiving services from another provider and Provider is attempting to persuade the beneficiary or their family to switch to or otherwise use the services of Provider.
  - (2) “Solicit” includes without limitation the following acts to induce a beneficiary or their family by:
    - (A) Contacting a beneficiary or the family of a beneficiary that is currently receiving services from another provider;
    - (B) Offering cash or gift incentives to a beneficiary or their family;
    - (C) Offering free goods or services not available to other similarly situated beneficiaries or their families;
    - (D) Making negative comments to a beneficiary or their family regarding the quality of services performed by another provider;
    - (E) Promising to provide services in excess of those necessary;
    - (F) Giving a beneficiary or their family the false impression, directly or indirectly, that Provider is the only provider that can perform the services desired by the beneficiary or their family; or

- (G) Engaging in any activity that DDS reasonably determines to be “solicitation.”

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## **Subchapter 2.        Certification.**

### **201.    Certification Required.**

- (a)
  - (1)    An individual, entity, or organization must be certified by DDS to provide a CES Waiver Service.
  - (2)    A separate DDS certification is required for each type of CES Waiver Service.
- (b)    A Provider that wishes to operate a complex care home (see section 602) must have the residential setting certified as a complex care home in addition to being certified to provide CES Waiver Supportive Living services.
- (c)    A Provider must comply with all applicable requirements in these standards to maintain certification for a CES Waiver Service.
- (d)    An individual, entity, or organization that is on the Medicaid excluded provider list is prohibited from receiving CES Waiver Service certification.

### **202.    Application for Certification.**

- (a)    To apply for CES Waiver Service or complex care home certification, an applicant must submit a complete application to DDS.
- (b)    A complete application includes:
  - (1)    Documentation demonstrating the applicant's entire ownership, including without limitation the applicant's governing body and all financial and business interests;
  - (2)    Documentation of the applicant's management, including without limitation the management structure and members of the management team;
  - (3)    Documentation of the employees that the applicant intends to use as part of operating as a Provider;
  - (4)    Documentation of all checks, screens, and searches required pursuant to section 302(b);
  - (5)    Documentation demonstrating compliance with these standards; and
  - (6)    All other documentation or other information requested by DDS.

**203. Certification Process.**

- (a) DDS may issue CES Waiver Service or complex care home certification to an applicant if:
  - (1) The applicant submits a complete application under section 202;
  - (2) DDS determines that all employees have successfully passed all checks, screens, and searches required pursuant to section 302(b); and
  - (3) DDS determines that the applicant satisfies these standards.
- (b) DDS may approve an application involving a change of ownership for an existing Provider if:
  - (1) The applicant submits a complete application under section 202;
  - (2) DDS determines that all employees and owners have successfully passed all checks, screens, and searches required pursuant to section 302(b); and
  - (3) DDS determines that the applicant satisfies these standards.
- (c) Certification to perform a CES Waiver Service once issued does not expire until terminated under these standards.

**Subchapter 3.        Administration.**

**301.    Organization and Ownership.**

- (a)    A Provider must be in good standing to do business under the laws of the state of Arkansas.
- (b)
  - (1)    A Provider must appoint a single manager as the point of contact for all DDS and DMS matters and provide DDS and DMS with updated contact information for that manager.
  - (2)    The manager must have authority over Provider and all its employees and be responsible for ensuring that requests, concerns, inquires, and enforcement actions are addressed and resolved to the satisfaction of DDS and DMS.
- (c)
  - (1)    A Provider cannot transfer CES Waiver Service certification to any other person or entity.
  - (2)    A Provider cannot complete a change of ownership unless DDS approves the application of the new ownership pursuant to sections 202 and 203.
  - (3)    A Provider cannot change its name or otherwise operate under a different name than the name listed on its certification without notice to DDS.

**302.    Employee and Staffing Requirements.**

- (a)    A Provider must appropriately supervise all beneficiaries based on each beneficiary's needs when performing CES Waiver Services.
- (b)
  - (1)    Except as provided in subdivision (b)(3) of this part, each employee must successfully pass the following:
    - (A)    All checks, screens, and searches required pursuant to Ark. Code Ann. § 20-48-812; and
    - (B)    A Medicaid excluded provider list check.

- (2) Each individual eighteen (18) years of age or older residing in an alternative living home that is not a family member of the beneficiary must successfully pass the checks and searches required by Ark. Code Ann. §20-48-812(c)(1-4).
- (3) The checks, screens, and searches prescribed in subdivision (b)(1) of this part are not required for any:
  - (A) Licensed professional; or
  - (B) Legal guardian of a beneficiary
- (c)
  - (1) Employees must be eighteen (18) years of age or older.
  - (2) Employees must have a:
    - (A) High school diploma; or
    - (B) GED or equivalent.
  - (3) Employees performing Consultation and Environmental Modification CES Waiver Services must be a licensed or certified professional in the appropriate field for the type of service performed.
- (d) A Provider must verify an employee meets all requirements under these standards upon the request of DDS or whenever a Provider receives information after hiring that would create a reasonable belief that an employee no longer meets all requirements under these standards.

**303. Employee Training and Certifications.**

- (a) All employees must receive training on the following topics prior to having any beneficiary direct contact that is unsupervised by another employee:
  - (1) The Health Insurance Portability and Accountability Act (HIPAA), and other applicable state and federal laws and regulations governing the protection of medical, social, personal, financial, and electronically stored records;
  - (2) Mandated reporter requirements and procedures;
  - (3) Incident and accident reporting;
  - (4) Basic health and safety practices;



- (5) Infection control practices;
  - (6) Trauma informed care;
  - (7) Verbal intervention; and
  - (8) De-escalation techniques.
- (b)
- (1) All employees must receive beneficiary-specific training in the amount necessary to safely meet the individualized needs of those beneficiaries prior to having any direct contact that is unsupervised by another employee.
  - (2) Every employee's beneficiary-specific training must at a minimum must include training on the beneficiary's:
    - (A) Non-clinical treatment plan;
    - (B) Diagnosis and medical needs;
    - (C) Medication management plan, if applicable;
    - (D) Positive behavioral support plan, as applicable;
    - (E) Behavioral prevention and intervention plan, as applicable;
    - (F) Permitted interventions, if applicable; and
    - (G) Emergency and evacuation procedures.
- (c) All employees must receive appropriate refresher training on the topics listed in sections 303(a) and 303(b) at least every other calendar year.
- (d) All employees must obtain and maintain in good standing the following credentials when performing services on behalf of Provider:
- (1) CPR certification in accordance with one of the following:
    - (A) American Heart Association;
    - (B) Medic First Aid, or
    - (C) American Red Cross; and
  - (2) First aid certification in accordance with one of the following:

- (A) American Heart Association;
  - (B) Medic First Aid; or
  - (C) American Red Cross.
- (e) A licensed professional is not required to receive the trainings or certifications prescribed in this section 303.

**304. Employee Records.**

- (a) A Provider must maintain a personnel record for each employee that includes:
  - (1) A detailed current job description;
  - (2) All required criminal background checks;
  - (3) All required Child Maltreatment Central Registry checks;
  - (4) All required Adult and Long-term Care Facility Resident Maltreatment Central Registry checks;
  - (5) All conducted drug screens;
  - (6) All required sex offender registry searches;
  - (7) All required Medicaid excluded provider list checks;
  - (8) Signed statement that the employee will comply with Provider's drug screen and drug use policies;
  - (9) Copy of current state or federal identification;
  - (10) Copy of valid state-issued driver's license, if driving is required in the job description;
  - (11) Documentation demonstrating the employee received all required trainings and certifications; and
  - (12) Documentation demonstrating the employee obtained and maintains in good standing all professional licenses, certifications, or credentials required for the CES Waiver Service performed by the employee.

- (b) A Provider must retain all employee personnel records for five (5) years from the date an employee ceases providing services to Provider or, if longer, the conclusion of all reviews, appeals, investigations, administrative actions, or judicial actions related to the employee that are pending at the end of the five (5) -year period.

**305. Beneficiary Service Records.**

- (a)
  - (1) A Provider must maintain a separate, updated, and complete service record for each beneficiary documenting the services provided to the beneficiary and any other documentation required under these standards.
  - (2) A Provider must maintain each beneficiary service record in a uniformly organized manner.
  - (3) A beneficiary service record must be made immediately available to a beneficiary and their legal guardian upon request.
- (b) A beneficiary's service record must include a summary document at the front that includes:
  - (1) The beneficiary's:
    - (A) Full name;
    - (B) Address and county of residence;
    - (C) Telephone number and email address, if available;
    - (D) Date of birth;
    - (E) Primary language;
    - (F) Diagnoses;
    - (G) Medications, dosage, and frequency, if applicable;
    - (H) Known allergies;
    - (I) Social Security Number;
    - (J) Medicaid number;
    - (K) Commercial or private health insurance information, if applicable; and
    - (L) Assigned Provider-Led Arkansas Shared Savings Entity (PASSE);

- (2) The date beneficiary began receiving each CES Waiver Service from Provider;
  - (3) The date beneficiary ceased receiving each CES Waiver Service from Provider, if applicable;
  - (4) The name, address, phone number, and email address, if available, of the beneficiary's legal guardian, if applicable; and
  - (5) The name, address, and phone number of the beneficiary's primary care provider (PCP).
- (c) A beneficiary's service record must include at least the following information and documentation:
- (1) PCSP, or documentation demonstrating a copy of PCSP has been requested from PASSE;
  - (2) Non-clinical treatment plan;
  - (3) PASSE prior authorizations for all CES Waiver Services performed by Provider;
  - (4) Positive behavior support plan, as applicable;
  - (5) Behavioral prevention and intervention plan, as applicable;
  - (6) Daily activity logs or other documentation for each CES Waiver Service;
  - (7) Medication management plan, if applicable;
  - (8) Medication logs, if applicable;
  - (9) Copies of any court orders that place the beneficiary in the custody of another person or entity; and
  - (10) Copies of any leases or residential agreements related to Provider owned, leased, or controlled CES Waiver Service residential settings.
- (d)
- (1) A Provider must ensure that each beneficiary service record is kept confidential and available only to:
    - (A) Employees who need to know the information contained in the beneficiary's service record;

- (B) DDS and any governmental entity with jurisdiction or other authority to access the beneficiary's service record;
- (C) The beneficiary's assigned PASSE;
- (D) The beneficiary's legal guardian, if applicable; and
- (E) Any other individual authorized in writing by the beneficiary or, if applicable, the beneficiary's legal guardian.

(2)

- (A) A Provider must keep beneficiary service records in a file cabinet or room that is always locked.
- (B)
  - (i) A Provider may use electronic records in addition to or in place of physical records to comply with these standards.
  - (ii) A Provider that uses electronic records must take reasonable steps to backup all electronic records and reconstruct a beneficiary's service record in the event of a breakdown in the Provider's electronic records system.
- (e) A Provider must retain all beneficiary service records for five (5) years from the date the beneficiary exits from the Provider or, if longer, the conclusion of all reviews, appeals, investigations, administrative actions, or judicial actions related to the beneficiary that are pending at the end of the five (5)-year period.

**306. Marketing and Solicitation.**

- (a) A Provider can market its services.
- (b) A Provider cannot solicit a beneficiary or their family.

**307. Third-party Service Agreements.**

- (a) A Provider may contract in writing with third-party vendors to provide services or otherwise satisfy requirements under these standards.
- (b) A Provider must ensure that all third-party vendors comply with these standards and all other applicable laws, rules, and regulations.

**308. Financial Safeguards.**

(a)

- (1) A beneficiary must have full use and access to their own funds or other assets.
- (2) A Provider may not limit a beneficiary's use or access to their own funds or other assets unless:
  - (A) The beneficiary or, if applicable, the beneficiary's legal guardian, provides informed written consent; or
  - (B) Provider otherwise has the legal authority.
- (3) A Provider is deemed to be limiting a beneficiary's use or access to the beneficiary's own funds and assets when:
  - (A) Designating the amount of funds a beneficiary may use or access;
  - (B) Limiting the amount of funds a beneficiary may use for a particular purpose; and
  - (C) Limiting the timeframes during which a beneficiary may use or access their funds or other assets.

(b)

- (1) A Provider may use, manage, or access a beneficiary's funds or other assets only when:
  - (A) The beneficiary or, if applicable, the beneficiary's legal guardian, has provided informed written consent; or
  - (B) Provider otherwise has the legal authority.
- (2) A Provider is deemed to be managing, using, or accessing a beneficiary's funds or other assets when:
  - (A) Serving as a representative payee of a beneficiary;
  - (B) Receiving benefits on behalf of a beneficiary; and
  - (C) Safeguarding funds or personal property for a beneficiary.

- (3) A Provider may only use, manage, or access a beneficiary's funds or other assets for the benefit of the beneficiary.
  - (4) A Provider may only use, manage, or access a beneficiary's funds or other assets to the extent permitted by law.
  - (5) A Provider must safeguard beneficiary funds or other assets whenever a Provider manages, uses, or has access to a beneficiary's funds or other assets.
  - (6) A Provider must ensure that a beneficiary receives the benefit of the goods and services for which the beneficiary's funds or other assets are used.
- (c)
- (1) A Provider must maintain financial records that document all uses of a beneficiary's funds or other assets.
  - (2) Financial records for beneficiary funds must be maintained in accordance with generally accepted accounting practices.
  - (3) A Provider must make beneficiary financial records available to a beneficiary or a beneficiary's legal guardian upon request.
- (d)
- (1) A Provider must maintain separate accounts for each beneficiary whenever the Provider uses, manages, or accesses beneficiary funds or other assets.
  - (2) Every beneficiary is not required to have separate commercial bank account. A single, collective commercial bank account may be used to hold the personal funds of multiple beneficiaries so long as Provider uses an accounting system that maintains a separate record for each beneficiary's deposit and withdrawal transactions from the single, collective commercial bank account.
  - (3) All interest derived from a beneficiary's funds or other assets shall accrue to the beneficiary's account.

**309. Infection Control.**

- (a)
- (1) A Provider must follow all applicable guidance from the Arkansas Department of Health related to infection control.

- (2) A Provider must provide personal protective equipment for all employees and beneficiaries as may be required in the circumstances.
- (b) If applicable, a Provider must notify a beneficiary's legal guardian if the beneficiary becomes ill.

**310. Compliance with State and Federal Laws, Rules, and Other Standards.**

- (a) A Provider must comply with all applicable local, state, and federal laws, rules, codes, or regulations and violation of any applicable local, state, or federal law, rule, code, or regulation constitutes a violation of these standards.
- (b)
  - (1) In the event of a conflict between these standards and another applicable local, state, or federal law, rule, code, or regulation the stricter requirement shall apply.
  - (2) In the event of an irreconcilable conflict between these standards and another applicable local, state, or federal law, rule, code, or regulation these standards shall govern to the extent not governed by local, state, or federal law.

**311. Restraints and Other Restrictive Interventions.**

- (a)
  - (1) A Provider cannot use a restraint on a beneficiary unless the restraint is required as an emergency safety intervention.
  - (2) An emergency safety intervention is required when:
    - (A) An immediate response with a restraint is required to address an unanticipated beneficiary behavior; and
    - (B) The beneficiary's behavior places the beneficiary or others at serious threat of harm if no intervention occurs.
  - (3) The use of seclusion for a beneficiary is strictly prohibited.
  - (4) The use of the following types of restraints on a beneficiary are strictly prohibited:
    - (A) Mechanical restraint; and
    - (B) Chemical restraint.



- (b) If a Provider uses a restraint, the Provider must:
  - (1) Comply with the use of the restraint as prescribed by the beneficiary's:
    - (A) Behavioral prevention and intervention plan, if applicable; and
    - (B) Positive behavior support plan, if applicable;
  - (2) Continuously monitor the beneficiary during the entire use of the restraint; and
  - (3) Maintain in-person visual and auditory observation of the beneficiary by an employee during the entire use of the restraint.
- (c)
  - (1) A Provider must document each use of a restraint whether the use was permitted or not.
  - (2) The documentation must include at least the following:
    - (A) The behavior precipitating the use of the restraint;
    - (B) The length of time the restraint was used;
    - (C) The name of the individual that authorized the use of the restraint;
    - (D) The names of all individuals involved in the use of the restraint; and
    - (E) The outcome of the use of the restraint.

**312. Medications.**

- (a)
  - (1) A beneficiary, or, if applicable, the beneficiary's legal guardian, can self-administer medication.
  - (2) When a beneficiary or legal guardian chooses to self-administer medication, a Provider must obtain a signed and dated election to self-administer medication that is renewed on an annual basis.
- (b)
  - (1) A Provider can administer medication only as:

- (A) Provided in the beneficiary's medication management plan; or
  - (B) Otherwise ordered by:
    - (i) A physician; or
    - (ii) Other health care professional authorized to prescribe or otherwise order the administration of medication.
  - (2) A Provider must administer medication in accordance with the Nurse Practice Act and the Consumer Directed Care Act.
- (c)
- (1)
    - (A) A Provider must develop a medication management plan for any non-self-administered prescribed and over-the-counter medication that is to be administered during the time the beneficiary is receiving a CES Waiver Service.
    - (B) A medication management plan does not have to be a standalone document, and may be included within the beneficiary's non-clinical treatment plan, medication log, or other document.
  - (2) A medication management plan must include without limitation:
    - (A) The name of each medication;
    - (B) The name of the prescribing physician or other health care professional if the medication is by prescription;
    - (C) A description of the symptom or symptoms to be addressed by each medication;
    - (D) How each medication will be administered, including without limitation time(s) of administration, dose(s), route of administration, and persons who may lawfully administer each medication;
    - (E) A list of the most common potential side effects caused by each medication; and
    - (F) The consent to the administration of each medication by the beneficiary, or, if applicable, the beneficiary's legal guardian.

(d)

- (1) A Provider must maintain a medication log for each beneficiary to document all non-self-administered prescribed and over-the-counter medications.
- (2) A medication log must be available at each location a beneficiary receives CES Waiver Services and must document the following for each administration of a medication:
  - (A) The name and dosage of medication administered;
  - (B) The route of medication administration;
  - (C) The date and time the medication was administered;
  - (D) The name of each employee who administered the medication or assisted in the administration of the medication;
  - (E) If an over-the-counter medication administered for a specific symptom, the specific symptom addressed and the effectiveness of the medication;
  - (F) Any adverse reaction or other side effect caused by the medication;
  - (G) Any transfer of medication that is not self-administered from the medication's original container into individual dosage containers;
  - (H) Any error in administering the medication; and
  - (I) The prescription and the name of the prescribing physician or other health care professional if the medication was not previously listed in the medication management plan.
- (3) All medication errors must be:
  - (A) Immediately reported to a supervisor;
  - (B) Documented in the medication log; and
  - (C) Reported as required under all applicable laws and rules including without limitation the laws and rules governing controlled substances.
- (4) A supervisory level employee must review and sign each medication log on at least a monthly basis.

(e) All medications stored for a beneficiary by a Provider must be:

- (1) Kept in the original medication container unless the beneficiary, or, if applicable, the beneficiary's legal guardian, transfers the medication into individual dosage containers;
  - (2) Labeled with the beneficiary's name; and
  - (3) Stored in an area, medication cart, or container that is always locked.
- (f) If a medication stored by a Provider is no longer to be administered to the beneficiary, then the medication must be:
- (1) Returned to the beneficiary's legal guardian, if applicable;
  - (2) Destroyed; or
  - (3) Otherwise disposed of in accordance with applicable laws and rules.

**313. Behavioral Management Plans.**

- (a)
- (1) The selected Provider for supportive living services must develop a behavioral prevention and intervention plan for a beneficiary if the beneficiary's risk mitigation plan identifies the beneficiary as a risk to display behaviors that can lead to harm to self or others, but below a risk level requiring a positive behavior support plan.
  - (2) The development and drafting of a behavioral prevention and intervention plan must be performed by an employee who:
    - (A) Has completed all the trainings and certifications required in section 303; or
    - (B) Is a licensed professional.
  - (3) A behavioral prevention and intervention plan must at a minimum include:
    - (A) A description of the beneficiary's inappropriate behaviors;
    - (B) What triggers the inappropriate behaviors;
    - (C) What actions to take when an inappropriate behavior occurs; and

- (D) A statement that restraints and restrictive interventions are prohibited except during an emergency safety intervention.
  - (4) A behavioral prevention and intervention plan does not have to be a standalone document and may be included within the beneficiary's non-clinical treatment plan or other document.
- (b)
- (1) The selected Consultation Provider must develop and implement a positive behavior support plan if a beneficiary's risk mitigation plan identifies the beneficiary as a high behavioral risk that can lead to harm to self or others, as defined in the risk assessment and mitigation plan tool.
  - (2)
    - (A) The development and drafting of the positive behavior support plan is a consultation service that must be performed by one of the following certified Providers of consulting services as defined in section 608:
      - (i) Psychologist;
      - (ii) Psychological Examiner;
      - (iii) Positive Behavior Support Specialist;
      - (iv) Board Certified Behavior Analyst;
      - (v) Licensed Clinical Social Worker; or
      - (vi) Licensed Professional Counselor.
    - (B) The Provider of consultation services that develops and implements the positive behavior support plan does not have to be the Provider performing supportive living services for the beneficiary.
  - (3) A positive behavior support plan must at minimum include all items listed in subsection (a)(3) of this part in addition to the following:
    - (A) Who will be implementing the positive behavior support plan;
    - (B) The skills or appropriate behaviors that will be taught to reduce or minimize the inappropriate behaviors;

- (C) The prompts that will be added to the environment to help reduce the occurrence of, or assist the beneficiary to overcome, the trigger;
- (D) An incentive and reinforcement system for appropriate beneficiary behavior that includes more than social praise;
- (E) Specific criteria the beneficiary needs to meet to earn reinforcement;
- (F) A detailed emergency safety intervention action plan, that at a minimum includes:
  - (i) The behavioral context that will trigger the use of emergency safety intervention procedures;
  - (ii) The exact emergency safety intervention procedures that will be used and by whom; and
  - (iii) The process that will be used for a review of the positive behavior support plan within forty-eight (48) hours of the emergency safety intervention; and
- (G) The next positive behavior support plan review date.

**Subchapter 4.        Entries and Exits.**

**401.    Entries.**

- (a)    A Provider may enroll and provide those CES Waiver Services it is certified to deliver pursuant to its CES Waiver Service certification(s) to an eligible beneficiary.
- (b)    A Provider must document the enrollment of all beneficiaries.

**402.    Exits.**

- (a)    A Provider may exit a beneficiary:
  - (1)    If the beneficiary becomes ineligible for CES Waiver as provided in section 405;
  - (2)    If the beneficiary chooses to use another Provider; or
  - (3)    For any other lawful reason.
- (b)    A Provider must provide reasonable assistance to all exiting beneficiaries, which at a minimum includes:
  - (1)    Assisting the beneficiary in transitioning to another Provider (in accordance with section 403) or other service provider, when applicable;
  - (2)    Submitting within fourteen (14) days of the beneficiary's exit or, if earlier, transition conference, all necessary transfer paperwork to the Social Security Administration and any other necessary agency or financial institution, when Provider is serving as the beneficiary's representative payee; and
  - (3)
    - (A)    Providing copies of the beneficiary's service records to:
      - (i)    The beneficiary;
      - (ii)   The beneficiary's legal guardian, if applicable; and
      - (iii)   Any new Provider or other service provider to which the beneficiary transfers after exiting.
    - (B)    Service records must include:
      - (i)    The beneficiary's non-clinical treatment plan;

- (ii) Medication management plan; and
  - (iii) Any other records requested by the beneficiary.
- (C) If copies of the exiting beneficiary's service record are not provided within thirty (30) days of a written request, it is presumed to be an unreasonable delay in violation of these standards.

**403. Transitions from one CES Waiver Provider to another.**

- (a)
  - (1) When a beneficiary transitions from one Provider to another Provider the requirements of this section 403 apply in addition to those in section 402.
  - (2) The requirements of this section 403 apply to any Provider-to-Provider transfer, including without limitation when:
    - (A) A beneficiary, or, if applicable, their legal guardian, elects to change Providers; and
    - (B) A Provider declares a refusal to serve in accordance with section 404.
- (b) A newly selected Provider must notify the current Provider of its selection within fourteen (14) business days of receiving notification of its selection from the PASSE.
- (c) The new Provider must hold a transition conference to develop a transition plan for the beneficiary within fourteen (14) business days of issuing the notification required in subsection (b) above. If the new Provider is unable to hold the transition conference within the required timeframe, reasonable justification for the delay must be documented.
- (d)
  - (1) The transition plan must at a minimum include:
    - (A) The effective date of the beneficiary's transition to the new Provider;
    - (B) Any upcoming or pending medical, counseling, or other appointments for the beneficiary;
    - (C) The date of the transition conference;
    - (D) How the transition conference was held (i.e. in person, by phone, zoom, etc.);



- (E) All individuals that attended the transition conference; and
  - (F) Documentation or other evidence that demonstrated both the current and new provider's consent to the transition plan (i.e. signatures on plan, email approval, etc.).
- (2) The following parties must participate in the transition conference:
- (A) Newly selected Provider;
  - (B) Current Provider;
  - (C) Assigned PASSE care coordinator; and
  - (D) The beneficiary or, if applicable, the beneficiary's legal guardian (unless they decline to attend).
- (e)
- (1) The current Provider will remain responsible for the delivery of services until such time as the beneficiary's transition to the new Provider is complete, which shall not exceed ninety (90) days from the date of the transition conference.
  - (2) Any new Provider not able to accept full responsibility for beneficiary service delivery within ninety (90) days from the date of the transition conference may be subject to the full array of available enforcement actions unless justified extenuating circumstances can be demonstrated.
  - (3) If a current provider is denied access to deliver services by the beneficiary or the beneficiary's family/guardian before transition to the new provider is complete, then the current provider must specifically document its attempts and the family/guardian's denial of access to provide services.
- (f) The new Provider and current Provider must maintain a copy of the beneficiary's transition plan in the beneficiary's service record.
- (g) Nothing in this section 403 precludes a new Provider from declaring a refusal to serve as provided in section 404.

**404. Refusal to Serve.**

- (a)
- (1) A selected Provider may refuse to serve any beneficiary:

- (A) When the Provider is unable to ensure the beneficiary's or their employees' health, safety, or welfare; or
  - (B) Upon the occurrence of one of the situations described subsections (1) – (4) of section 405.
- (2) A Provider must immediately notify DDS and the beneficiary's assigned PASSE care coordinator when refusing to serve a beneficiary.
- (b) If a Provider is unable to ensure a beneficiary's health, safety, or welfare because qualified personnel are unavailable to deliver a CES Waiver Service included on the beneficiary's PCSP, Provider must be able to demonstrate reasonable efforts to recruit and retain qualified personnel and the results of those efforts.
  - (c) Whether a Provider is refusing to serve based on legitimate beneficiary or employee health, safety, or welfare concerns is determined in the sole discretion of DDS.
  - (d) If a Provider is currently serving a beneficiary when declaring a refusal to serve, the Provider shall remain responsible for the delivery of CES Waiver Services until the beneficiary transitions to their new Provider or other placement unless there is an immediate health or safety risk to Provider employees. A detailed description of any health and safety risk justifying the ceasing of service delivery prior to a completed transition of beneficiary to a new Provider must be documented.

**405. CES Waiver Eligibility Disqualification.**

A beneficiary may be disenrolled from the CES Waiver under the following circumstances:

- (1) When the beneficiary or legal guardian refuses to participate in the PCSP or non-clinical treatment plan development;
- (2) When the beneficiary or legal guardian refuses to permit implementation of the PCSP, non-clinical treatment plan, or any part thereof that is deemed necessary to assure health and safety;
- (3) When the beneficiary or legal guardian refuses to permit the on-site entry of:
  - (A) The PASSE care coordinator to conduct scheduled/required visits;
  - (B) Direct care staff to provide scheduled care;
  - (C) The supervisory or management staff of a Provider to conduct a scheduled/required visit; or

- (D) DHS or its authorized representatives acting in their role as oversight authority for compliance or audit purposes;
- (4) When the beneficiary requires twenty-four (24) hour nursing care on a continuous basis as prescribed by a physician;
- (5) When the beneficiary is fully admitted as a resident in a public institution or as an inmate in a federal, state, or local correctional facility;
- (6) When the beneficiary is deemed ineligible based on assessment or reassessment finding that the beneficiary does not meet ICF/IID institutional level of care; and
- (7) When the beneficiary is ineligible based on not meeting or not complying with Medicaid eligibility requirements.

**Subchapter 5.        Settings Requirements.**

**501.    Emergency Plans and Drills.**

- (a) A Provider must have a written emergency plan for all Provider owned, leased, or controlled CES Waiver Service residential settings.
- (b) A written emergency plan must address all foreseeable emergencies, including without limitation:
  - (1) Fire;
  - (2) Flood;
  - (3) Tornado;
  - (4) Utility disruption;
  - (5) Bomb threat;
  - (6) Active shooter; and
  - (7) Infectious disease outbreak.
- (c) A Provider must evaluate and, if necessary, update, written emergency plans at least annually for all Provider owned, leased, or controlled CES Waiver Service residential settings.
- (d) Each written emergency plan must at a minimum include:
  - (1) Designated relocation sites and evacuation routes;
  - (2) Procedures for notifying legal guardians upon relocation, if applicable;
  - (3) Procedures for ensuring each beneficiary's safe return;
  - (4) Procedures to address the special needs of each beneficiary;
  - (5) Procedures to address interruptions in the delivery of services;
  - (6) Procedures for reassigning employee duties in an emergency; and
  - (7) Procedures for annual training of employees regarding the emergency plan.

(e)

- (1) A Provider must conduct emergency fire drills at least once a month for all Provider owned, leased, or controlled CES Waiver Service residential settings.
- (2) A Provider must conduct all other emergency drills set out in subsection (b) at least annually for all Provider owned, leased, or controlled CES Waiver Service residential settings.
- (3) A Provider must document all emergency drills, which must include:
  - (A) The date and time of the emergency drill;
  - (B) The type of emergency drill;
  - (C) The number of beneficiaries participating in the emergency drill;
  - (D) The length of time taken to complete the emergency drill; and
  - (E) Notes regarding any aspects of the emergency drill that need improvement.

**502. Provider Owned Residential Setting Requirements.**

- (a) Each Provider owned, leased, or controlled CES Waiver Service residential setting must meet the home and community-based services setting regulations as established by 42 CFR 441.301(c) (4)-(5).
- (b)
  - (1) A Provider owned, leased, or controlled CES Waiver Service residential setting is limited to no more than eight (8) beneficiaries.
  - (2) Previously grandfathered group home locations continuously licensed by DDS since July 1, 1995, may continue to serve up to fourteen (14) unrelated adult beneficiaries with intellectual or developmental disabilities.
- (c) All Provider owned, leased, or controlled CES Waiver Service residential settings must meet the following requirements:
  - (1) The interior of the location must:
    - (A) Be maintained at a comfortable temperature;
    - (B) Have appropriate interior lighting;

- (C) Be well-ventilated;
  - (D) Have a running source of potable water in each bathroom, and, if applicable, kitchen;
  - (E) Be maintained in a safe, clean, and sanitary condition;
  - (F) Be free of:
    - (i) Offensive odors;
    - (ii) Pests;
    - (iii) Lead-based paint; and
    - (iv) Hazardous materials.
- (2) The exterior of each Provider owned, leased, or controlled CES Waiver Service residential setting's physical structure must be maintained in good repair, and free of dangerous holes, cracks, and leaks, including without limitation the:
- (A) Roof;
  - (B) Foundation;
  - (C) Doors;
  - (D) Windows;
  - (E) Siding;
  - (F) Porches;
  - (G) Patios; and
  - (H) Walkways.
- (3) The surrounding grounds of each Provider owned, leased, or controlled CES Waiver Service residential setting must be maintained in a safe, clean, and manicured condition free of trash and other objects.
- (4) Broken equipment, furniture, and appliances on or about the premises of each Provider owned, leased, or controlled CES Waiver Service residential setting must be either immediately repaired or appropriately discarded off premises and replaced.

- (d) Provider owned, leased, or controlled CES Waiver Service residential settings must at a minimum include:
- (1) A functioning hot water heater;
  - (2) A functioning HVAC unit(s) able to heat and cool;
  - (3) An operable on-site telephone that is available at all hours and reachable with a phone number for outside callers;
  - (4) All emergency contacts and other necessary contact information related to a beneficiary's health, welfare, and safety in a readily available location, including without limitation:
    - (A) Poison control;
    - (B) The beneficiary's primary care provider (PCP); and
    - (C) Local police;
  - (5) One (1) or more working flashlights;
  - (6) A smoke detector;
  - (7) A carbon monoxide detector, unless there are no forms of gas services at the location;
  - (8) A first aid kit that includes at least the following:
    - (A) Adhesive band-aids of various sizes;
    - (B) Sterile gauze squares;
    - (C) Adhesive tape;
    - (D) Antiseptic;
    - (E) Thermometer;
    - (F) Scissors;
    - (G) Disposable gloves; and
    - (H) Tweezers;

- (9) Fire extinguishers in number and location to satisfy all applicable laws and rules, but at least one (1) functioning fire extinguisher is required at each location;
- (10) Screens for all windows and doors used for ventilation;
- (11) Screens or guards attached to the floor or wall to protect floor furnaces, heaters, hot radiators, exposed water heaters, air conditioners, and electric fans; and
- (12) Written instructions and diagrams noting emergency evacuation routes to be used in case of fire, severe weather, or another emergency posted:
  - (A) By each exit;
  - (B) In all stairwells, if applicable; and
  - (C) In and by all elevators, if applicable.
- (e) Each Provider owned, leased, or controlled CES Waiver Service residential setting must provide each beneficiary with a bedroom that has:
  - (1) An entrance that can be accessed without going through a bathroom or another person's bedroom;
  - (2) An entrance with a lockable door; and
  - (3) One (1) or more windows that can open and provide an outside view.
- (f) Each Provider owned, leased, or controlled CES Waiver Service residential setting must meet the following bathroom requirements:
  - (1) At least one (1) bathroom must have a shower or bathtub;
  - (2) All toilets, bathtubs, and showers must provide for individual privacy;
  - (3) At least one (1) toilet, bathtub, and shower must be designed and installed in an accessible manner for each beneficiary; and
  - (4) Each bathroom must have the following:
    - (A) Toilet;
    - (B) Sink with running hot and cold water;
    - (C) Toilet tissue;
    - (D) Soap; and



- (E) Towels or paper towels.
- (g) Each Provider owned, leased, or controlled CES Waiver Service residential setting that houses more than one (1) beneficiary must ensure:
  - (1) Each beneficiary has fifty (50) or more square feet of separate bedroom space;
  - (2) Each beneficiary has an individual bed measuring at least thirty-six (36) inches wide with:
    - (A) A mattress;
    - (B) Pillows; and
    - (C) Linens, which must be cleaned or replaced at least weekly;
  - (3) Each beneficiary has storage space for clothes and personal items;
  - (4) At least one (1) bathroom with a shower/bathtub, sink, and toilet for every four (4) beneficiaries.
  - (5) A reasonably furnished living room;
  - (6) A reasonably furnished dining area; and
  - (7) A kitchen with equipment, utensils, and supplies necessary to properly store, prepare, and serve three (3) or more meals a day for up to one (1) week.

**503. Provider Owned Residential Setting Exceptions and Variations.**

- (a) Any beneficiary need or behavior that requires a variation or exception to the Provider owned, leased, or controlled CES Waiver Service residential setting requirements set out in section 502 must be justified in their behavioral prevention and intervention plan, positive behavior support plan, or non-clinical treatment plan.
- (b) The justification for a variation or exception to any Provider owned, leased, or controlled CES Waiver Service residential setting requirement must at a minimum include:
  - (1) The specific, individualized need or behavior that requires a variation or exception;
  - (2) The positive interventions and supports used prior to the implementation of the variation or exception;
  - (3) The less intrusive methods of meeting the need or managing the behavior that were attempted but did not work;

- (4) A clear description of the applicable variation or exception;
- (5) The regular data collection and reviews that will be conducted to measure the ongoing effectiveness of the variation or exception;
- (6) A schedule of periodic reviews to determine if the variation or exception is still necessary or can be terminated;
- (7) The informed consent of the beneficiary or, if applicable, legal guardian; and
- (8) An assurance that interventions and supports will cause no harm to the beneficiary.

PROPOSED

## **Subchapter 6.        Programs and Services.**

### **601.    Supportive Living.**

- (a) Supporting living services are individually tailored habilitative services and activities to enable a beneficiary to reside successfully in their own home, with family, or in an alternative living setting.
- (b)
  - (1) Supportive living services must be provided in an integrated community setting.
  - (2) Supportive living services must directly relate to goals and objectives in the beneficiary's non-clinical treatment plan.
  - (3) Providers must ensure that a sufficient number of direct care staff are scheduled during the performance of supportive living services to guarantee the health, safety, and welfare of each beneficiary.
  - (4) Providers must have backup plans in place to address contingencies if direct care staff are unable, fail, or refuse to provide scheduled supportive living services.
- (b) A Provider of supportive living services must maintain the following documentation in the beneficiary's service record for each day the beneficiary receives supportive living services:
  - (1) The name and sign-in/sign-out times for each direct care staff member providing supportive living services;
  - (2) The specific supportive living activities performed;
  - (3) Name(s) of the direct care staff providing each supportive living activity;
  - (4) The relationship of the activities to the goals and objectives described in the beneficiary's non-clinical treatment plan; and
  - (5) Daily progress notes/narrative signed and dated by one of the direct care staff performing the services and activities, describing the beneficiary's progress or lack thereof with respect to each of their individualized goals and objectives.

### **602.    Complex Care Home.**

- (a) A complex care home is a specific type of Provider owned, leased, or controlled supportive living residential setting that is certified to offer eligible beneficiaries a twenty-four (24)

hour, seven (7) days a week specialized medical, clinical, and habilitative support and service array.

(b)

- (1) Complex care home placement for a beneficiary is intended to be temporary and transitional.
- (2) Each beneficiary living in a complex care home must be diagnosed with an intellectual or developmental disability and a significant co-occurring deficit, which includes without limitation individuals with an intellectual disability and significant:
  - (A) Behavioral health needs; or
  - (B) Physical health needs.

(3)

- (A) A Provider must maintain the beneficiary to staff ratio necessary to meet each beneficiary's needs as provided in their non-clinical treatment plan and PCSP and to ensure beneficiary and direct care staff health, safety, and welfare.
- (B) Under no circumstances may there be less than a four-to-one (4:1) beneficiary to staff ratio in a complex care home at any time.

(c) A complex care home must be certified as provided in section 201(b) and 202.

(d)

- (1) Each Provider operating a complex care home must employ or contract with a medical director who is a licensed physician in good standing with the Arkansas Medical Board.
- (2) The medical director is responsible for:
  - (A) Oversight of all medical services performed by the Provider for beneficiaries residing in a complex care home;
  - (B) Oversight of complex care home medical care quality and compliance; and
  - (C) Ensuring all medical services performed for beneficiaries in a complex care home are provided:

- (i) Within each practitioner's scope of practice under Arkansas law; and
  - (ii) Under such supervision as required by law for practitioners not licensed to practice independently.
- (3) The medical director must ensure appropriate medical services are accessible twenty-four (24) hours a day, seven (7) days a week for all beneficiaries residing in a complex care home.
- (4)
  - (A) A Provider operating a complex care home must always have its medical director on-site or on-call during hours of operation.
  - (B) An on-call medical director must respond:
    - (i) Within twenty (20) minutes of initial contact; and
    - (ii) In-person if required by the circumstances.
  - (C) A Provider operating a complex care home must document each after-hours contact with a its medical director, including without limitation:
    - (i) The date and time the medical director was contacted;
    - (ii) The date and time the medical director responded; and
    - (iii) The date and time an on-call medical director came on-site when called in due to circumstances.
- (5) If the medical director is not a licensed psychiatrist, then the medical director must contact the licensed psychiatrist contracted or employed by the Provider within twenty-four (24) hours in the following situations:
  - (A) When antipsychotic or stimulant medications are used in dosages higher than recommended in guidelines published by DMS;
  - (B) When two (2) or more medications from the same pharmacological class are used; and
  - (C) When there is a beneficiary clinical deterioration or crisis causing risk of danger to the beneficiary or others.

(e)

- (1) Each Provider operating a complex care home must employ or contract with a licensed psychiatrist certified by one of the specialties of the American Board of Medical Specialties to serve as a consultant to the medical director and other employees, as needed.
- (2) If the medical director is certified by one of the specialties of the American Board of Medical Specialties, then a Provider is not required to retain a second licensed psychiatrist.

(f)

- (1) Each Provider operating a complex care home serving beneficiaries under the age of twenty-one (21) must employ or contract with a board-certified child psychiatrist to serve as a consultant to the medical director and other employees, as needed.
- (2) If the medical director is a board-certified child psychiatrist, then a Provider is not required to retain a second board-certified child psychiatrist.

(g)

- (1) Each Provider operating a complex care home must employ or contract with a full-time clinical director (or functional equivalent) who holds one (1) of the following State of Arkansas licenses or certifications:
  - (A) Psychologist;
  - (B) Certified Social Worker;
  - (C) Psychological Examiner – Independent;
  - (D) Professional Counselor;
  - (E) Marriage and Family Therapist ;
  - (F) Advanced Practice Nurse with:
    - (i) A specialty in psychiatry or mental health; and
    - (ii) A minimum of two (2) years' clinical experience post master's degree; or
  - (G) Clinical Nurse Specialist with:
    - (i) A specialty in psychiatry or mental health; and

- (ii) A minimum of two (2) years' clinical experience post master's degree.
- (2) The clinical director is responsible for:
  - (A) Oversight of all services (professional and paraprofessional) provided to a beneficiary residing in a certified complex care home;
  - (B) Oversight of complex care home care and service quality and compliance;
  - (C) Ensuring all services (professional and paraprofessional) performed for beneficiaries in a complex care home are provided:
    - (i) Within each employee's or practitioner's scope of practice under Arkansas law; and
    - (ii) Under such supervision as required by law for employees and practitioners not licensed to practice independently; and
  - (D) Ensuring all licensed professionals appropriately supervise the delivery of all services in accordance with the beneficiary's treatment plan.
- (h)
  - (1) A Provider operating a complex care home must assign a multidisciplinary team to each beneficiary residing in the complex care home.
  - (2) The multidisciplinary team is responsible for:
    - (A) The development of the beneficiary's treatment plan for those services to be performed by the Provider; and
    - (B) The Provider's delivery of all services included in beneficiary's treatment plan.
  - (3)
    - (A) Each multidisciplinary team must have a designated multidisciplinary team leader.
    - (B) Each multidisciplinary team leader must be a mental health professional (MHP).
    - (C) The designated multidisciplinary team leader must have licensure and training applicable to the treatment of the beneficiary as indicated in the beneficiary's PCSP.

- (D) Each multidisciplinary team leader is responsible for:
  - (i) Overseeing the development of the treatment plan for those services to be performed by the Provider;
  - (ii) Monitoring the Provider's delivery of all services included in the beneficiary's treatment plan;
  - (iii) Directly supervising Provider employees performing the services included in the beneficiary's treatment plan; and
  - (iv) Providing case consultation and in-service training to members of the multidisciplinary team, as needed.
- (i)
  - (1) A Provider operating a complex care home must establish, implement, and maintain a site-specific crisis response plan at each complex care home location.
  - (2) Each site-specific crisis response plan must include a twenty-four (24) hour emergency telephone number that provides for a:
    - (A) Direct access call with a mental health professional (MHP) within fifteen (15) minutes of an emergency/crisis;
    - (B) Face-to-face crisis assessment of a beneficiary within two (2) hours of an emergency/crisis (which may be conducted through telemedicine) unless a different time frame is within clinical standards guidelines and mutually agreed upon by the requesting party and the responding MHP; and
    - (C) Clinical review by the clinical director within twenty-four (24) hours of the emergency/crisis.
- (j) A Provider operating a complex care home must:
  - (1) Provide the twenty-four (24)-hour emergency telephone number to all beneficiaries, and, if applicable, the legal guardians of all beneficiaries, residing in the complex care home;
  - (2) Post the twenty-four (24)-hour emergency telephone number on all public entrances to each complex care home location; and
  - (3) Include the twenty-four (24)-hour emergency telephone phone number on all answering machine greetings.



**603. Respite.**

- (a) Respite services are temporary, short-term services provided to relieve a beneficiary's primary caregiver(s) or because of a primary caregiver(s) emergency absence.
  - (1) Receipt of respite services does not preclude a beneficiary from receiving other CES Waiver services on the same day.
  - (2) Respite services cannot supplant the responsibility of a parent or legal guardian.
- (b) A Provider of respite services must maintain the following documentation in the beneficiary's service record for each day a beneficiary receives respite services:
  - (1) The name and sign-in/sign-out times for each direct care staff member providing respite services;
  - (2) The specific respite activities performed;
  - (3) The date and beginning and ending time of each respite activity performed; and
  - (4) Name(s) of the direct care staff performing each respite activity.

**604. Supported Employment.**

- (a) Supported employment services are a tailored array of services offering ongoing support to beneficiaries in their goal of working in competitive integrated work settings for at least minimum wage.
  - (1) Supported employment services may include any combination of the following services:
    - (A) Job assessment and discovery;
    - (B) Person centered employment planning;
    - (C) Job placement;
    - (D) Job development;
    - (E) Job coaching;
    - (F) Benefits support;
    - (G) Training and planning;

- (H) Transportation to and from a beneficiary's home and employment site (when no other transportation is available);
  - (I) Asset development;
  - (J) Career advancement services; and
  - (K) Other workplace support services not specifically related to job skill training that enable a beneficiary to successfully integrate into a job setting.
- (2) Supported employment services include services utilized to support beneficiaries who are self-employed.
- (b) A Provider of supported employment services must maintain the following documentation in a beneficiary's service record:
    - (1) Job development or transition plan for job supports;
    - (2) Copy of beneficiary remuneration statements or paycheck stubs, if available; and
    - (3) Copy of beneficiary's recent work schedule, if applicable.

**605. Specialized Medical Supplies.**

- (a) Specialized medical supplies may include medically necessary:
  - (1) Items necessary for life support or to address a beneficiary's physical conditions, along with any ancillary supplies and equipment necessary for the proper functioning of such items;
  - (2) Durable and non-durable medical equipment necessary to address a beneficiary's functional limitations that are not available under the Arkansas Medicaid state plan;
  - (3) Medical Supplies not available under the Arkansas Medicaid state plan;
  - (4) Nutritional supplements;
  - (5) Non-prescription medications approved by the Federal Drug Administration; and
  - (6) Prescription drugs.
- (b) Specialized medical supplies do not include:
  - (1) Medical equipment or medical supplies available under the Arkansas Medicaid state plan;

- (2) Items that are not of a direct medical or remedial benefit to a beneficiary; and
  - (3) Alternative medicines that are not approved by the Federal Drug Administration.
- (c) A Provider of specialized medical supplies must maintain the following documentation in a beneficiary's service record:
- (1) The date of the specialized medical supplies order;
  - (2) The quantity and price per item of the specialized medical supplies ordered;
  - (3) A written description of the beneficiary's medical need addressed, or the remedial benefit provided by the specialized medical supplies;
  - (4) The delivery date of the specialized medical supplies; and
  - (5) If installation is required, the installation date and any instructions that are provided to the beneficiary or legal guardian regarding use of the specialized medical supplies.

**606. Adaptive Equipment.**

- (a) Adaptive equipment is a piece of equipment or product system that is used to increase, maintain, or improve a beneficiary's functional ability to perform daily life tasks that would not otherwise be possible. Adaptive equipment specifically includes without limitation the following:
- (1) Home enabling technology that allows a beneficiary to safely perform activities of daily living without assistance;
  - (2) The purchase, installation fee, and monthly service fee related to a personal emergency response system that enables a beneficiary to secure help in an emergency;
  - (3) Computer equipment and software that:
    - (A) Allows a beneficiary increased control of their environment;
    - (B) Allows a beneficiary to gain independence; or
    - (C) Protects a beneficiary's health and safety; and
  - (4) Modifications to an automobile or van to:

- (A) Enable a beneficiary to integrate more fully into the community; or
  - (B) Ensure the beneficiary's health, safety, and welfare.
- (b) A medical professional must be consulted to ensure adaptive equipment will meet the needs of a beneficiary.
- (c) Adaptive equipment *does not* include adaptations and modifications to a vehicle that are of general utility and not of direct medical or habilitative benefit to the beneficiary, including without limitation:
  - (1) Any portion of the purchase price or down payment for a vehicle;
  - (2) Monthly vehicle payments; and
  - (3) Regular vehicle maintenance.
- (d) A Provider of adaptive equipment must maintain the following documentation in a beneficiary's service record:
  - (1) The date of the adaptive equipment order;
  - (2) The quantity and price per item of the adaptive equipment ordered;
  - (3) A written description of the beneficiary's medical need addressed or the remedial benefit provided by the adaptive equipment;
  - (4) The delivery date of the adaptive equipment; and
  - (5) If installation is required, the installation date and any instructions that are provided to the beneficiary or legal guardian regarding use of the adaptive equipment.

**607. Community Transition Services.**

- (a) Community transition services cover non-recurring setup expenses for beneficiaries who are transitioning from an institutional or provider-operated living arrangement, such as an intermediate care facility or group home, into a living arrangement in a private residence where the beneficiary or their legal guardian is directly responsible for their own living expenses. Community transition services include without limitation the following:
  - (1) Security deposits required to obtain a lease on an apartment or home;
  - (2) Essential household furnishings required to occupy and use a private residence such as:

- (A) Furniture;
    - (B) Window coverings;
    - (C) Food preparation items; and
    - (D) Bed and bathroom linens;
  - (3) Set-up fees and deposits for utility access such as:
    - (A) Telephone;
    - (B) Electricity;
    - (C) Natural gas; and
    - (D) Water;
  - (4) Services necessary for the beneficiary's health or safety such as one-time pest eradication or cleaning prior to occupying a private residence; and
  - (5) Moving expenses.
- (b) Community transition services do not include:
- (1) Monthly rent or mortgage payments;
  - (2) Food expenses;
  - (3) Monthly utility bills;
  - (4) Household appliances; and
  - (5) Items to be used for recreational purposes.
- (c) A Provider of community transition services must maintain the following documentation in a beneficiary's service record:
- (1) The date the community transition service is paid, and, if applicable, delivered or performed;
  - (2) The price of the community transition service;
  - (3) A receipt or invoice related to the community transition service; and

- (4) Written description of the community transition service and what beneficiary need was met or remedial benefit accomplished.

**608. Consultation.**

- (a) Consultation services are direct clinical or therapeutic specialty services by a professional licensed or certified in the applicable specialty, which assist a beneficiary, legal guardians, responsible persons, and service providers in carrying out the beneficiary's PCSP and any associated non-clinical treatment plans included within the PCSP. Consultation services include without limitation the following:
  - (1) Administering or updating psychological and adaptive behavior assessments;
  - (2) Screening, assessing, and developing non-clinical treatment plans;
  - (3) Training direct care staff and beneficiary family members in carrying out special community living services and strategies identified in the non-clinical treatment plan and PCSP, and applicable to the consultant's specialty;
  - (4) Providing information and assistance in the consultant's specialty to the individual developing the non-clinical treatment plan;
  - (5) Participating on the interdisciplinary team;
  - (6) Providing training and technical assistance to service providers, direct care staff, or beneficiary family members on carrying out the beneficiary's non-clinical treatment plan and PCSP that is applicable to the consultant's specialty;
  - (7) Assisting direct care staff or beneficiary family members with necessary non-clinical treatment plan and PCSP adjustments applicable to the consultant's specialty;
  - (8) Advising on the appropriateness, assisting with the selection, setup, and training on the use of adaptive equipment, communication devices, and software applicable to the consultant's specialty;
  - (9) Training beneficiaries and their family members on self-advocacy;
  - (10) Training beneficiary family members or direct care staff on:
    - (A) Implementing behavioral prevention and intervention plans and positive behavior support plans;
    - (B) Speech-language pathology, occupational therapy, and physical therapy treatment modalities; and

- (C) The administration of medical procedures not previously prescribed but now necessary to allow the beneficiary to remain in a private residence;
  - (11) Rehabilitation counseling;
  - (12) Developing, overseeing, implementing, and modifying behavioral prevention and intervention plans and positive behavior support plans; and
  - (13) Training and assisting a beneficiary and beneficiary family members in proper beneficiary nutrition and special dietary needs.
- (b)
- (1) The professional performing the consultation service must hold a current license or certification from the applicable licensing or certification board and organization in the applicable consultation specialty area.
  - (2) The following is a non-exhaustive list of examples of the licensed or certified professional a Provider must use in the applicable consultation specialty when providing consultation services:
    - (A) Psychologist: a licensed psychologist in good standing with the Arkansas Psychology Board;
    - (B) Psychological examiner: a licensed psychological examiner in good standing with the Arkansas Psychology Board;
    - (C) Master social worker: a licensed LMSW or ACSW in good standing with the Arkansas Social Work Licensing Board;
    - (D) Professional counselor: a licensed counselor in good standing with the Arkansas Board of Examiners in Counseling;
    - (E) Speech-language pathologist: a licensed speech-language pathologist in good standing with the Arkansas Board of Audiology and Speech Language Pathology;
    - (F) Occupational therapist: a licensed occupational therapist in good standing with the Arkansas State Medical Board;
    - (G) Physical therapist: a licensed physical therapist in good standing with the Arkansas Board of Physical Therapy;
    - (H) Registered nurse: a licensed registered nurse in good standing with the Arkansas Board of Nursing;

- (I) Certified parent educator: meets the qualifications of a Qualified Developmental Disabilities Professional as defined in 42 C.F.R. 483.430(a);
  - (J) Communication and environmental control adaptive equipment/aids provider: currently enrolled durable medical equipment provider with Arkansas Medicaid;
  - (K) Qualified developmental disabilities professional: meet the qualifications defined in 42 C.F.R. 483.430(a);
  - (L) Dietician: a degree in nutrition;
  - (M) Positive behavior support specialist: certified through the Center of Excellence University of Arkansas Partners for Inclusive Communities or any other entity that offers a similar certification curriculum;
  - (N) Rehabilitation counselor: a masters degree in Rehabilitation Counseling;
  - (O) Recreational therapist: a degree in Recreational Therapy; and
  - (P) Board certified behavior analyst: certified and in good standing with the Behavior Analyst Certification Board as defined in Ark. Code Ann. § 23-99-418.
- (c) A Provider of consultation services must maintain the following documentation in a beneficiary's service record:
- (1) The date the consultation was provided;
  - (2) The consultation service provided;
  - (3) The name and credentials of the professional providing the consultation services; and
  - (4) A detailed narrative regarding the content of each consultation service.

**609. Environmental Modifications.**

- (a) Environmental modifications are modifications made by a Provider to a beneficiary's place of residence that:
- (1) Are necessary to ensure the health, welfare, and safety of the beneficiary; or
  - (2) Enable the beneficiary to function with greater independence and without which the beneficiary would require institutionalization.



- (b) Environmental modifications include without limitation:
  - (1) Wheelchair ramps;
  - (2) Widening doorways;
  - (3) Modifications relating to a beneficiary's access to and use of a bathroom;
  - (4) Installation of specialized electrical or plumbing systems to accommodate a beneficiary's medical equipment;
  - (5) Installation of sidewalks or pads for beneficiaries with mobility deficits; and
  - (6) Fencing to prevent the elopement and wandering of beneficiaries.
- (c) Environmental modifications do not include:
  - (1) Repairs that are of general utility and not for a beneficiary's medical or rehabilitative need;
  - (2) Modification that are of aesthetic value only; and
  - (3) Modifications that add to the total square footage of the residence.
- (d) The individual performing an environmental modification must be licensed and bonded in the state of Arkansas, as required, and possess all appropriate credentials, skills, and experience to perform the job.
- (e) A Provider of environmental modifications must maintain the following documentation in a beneficiary's service record:
  - (1) If the residence is rented or leased, the written consent of the property owner to perform the environmental modifications;
  - (2) An original photo of the site where environmental modifications will be done;
  - (3) A to-scale sketch plan of the proposed environmental modification project;
  - (4) Any necessary inspections, inspection reports, and permits required by federal, state, and local laws either prior to commencing work or upon completion of each environmental modification to verify that the repair, modification, or installation was completed;
  - (5) The date(s) of the environmental modification installation;

- (6) The name of the individual/company performing the environmental modification, and copies of their licenses and bonding information, if applicable;
- (7) The signature of the legal guardian or beneficiary, if no legal guardian is appointed, at job completion certifying:
  - (A) The environmental modifications authorized are complete;
  - (B) The property was left in satisfactory condition; and
  - (C) Any incidental damages to the property were repaired; and
- (8) An itemized invoice or statement of all expenses including materials and labor associated with the environmental modification.

**610. Supplemental Support.**

- (a) Supplemental support services allow a beneficiary to continue living in the community when new and unforeseen problems arise that unless remedied would cause a disruption in the beneficiary's residential setting.
- (b) A Provider of supplemental support services must maintain the following documentation in the beneficiary's service record:
  - (1) The date the supplemental support service is paid, and, if applicable, delivered or performed;
  - (2) The price of the supplemental support service;
  - (3) A receipt or invoice related to the supplemental support service; and
  - (4) Written description of the supplemental support service and the unforeseen problem that without the supplemental support service would cause a disruption in the beneficiary's residential setting.

## **Subchapter 7.        Incident and Accident Reporting.**

### **701.    Incidents to be Reported.**

A Provider must report all alleged, suspected, observed, or reported occurrences of any of the following events while a beneficiary is receiving a paid CES Waiver Service:

- (1)    Death of a beneficiary;
- (2)    Serious injury to a beneficiary;
- (3)    Maltreatment of a beneficiary;
- (4)    Any event where an employee threatens or strikes a beneficiary;
- (5)    Use of a restrictive intervention on a beneficiary, including without limitation:
  - (A)    Seclusion;
  - (B)    A restraint;
  - (C)    A chemical restraint; or
  - (D)    A mechanical restraint;
- (6)    Any situation the whereabouts of a beneficiary are unknown for more than two (2) hours;
- (7)    Any unscheduled situation where:
  - (A)    A beneficiary's services are interrupted for more than two (2) hours; and
  - (B)    The interruption would cause or have the potential to cause death, serious injury, or serious illness to a beneficiary;
- (8)    Events involving a risk of death, serious physical or psychological injury, or serious illness to a beneficiary;
- (9)    Medication errors that cause or have the potential to cause death, serious injury, or serious illness to a beneficiary;
- (10)   Any act or omission that jeopardizes the health, safety, or quality of life of a beneficiary;
- (11)   Motor vehicle accidents involving a beneficiary;

- (12) A beneficiary or employee testing positive for any infectious disease that is the subject of a public health emergency declared by the Governor, Arkansas Department of Health, the President of the United States, or the United States Department of Health and Human Services; and
- (13) Any event that requires notification of the police, fire department, or coroner.

**702. Reporting Requirements.**

- (a) A Provider must:
  - (1) Submit all reports of the following events within one (1) hour of the event:
    - (A) Death of a beneficiary;
    - (B) Serious injury to a beneficiary; and
    - (C) Any incident that a Provider should reasonably know might be of interest to the public or media.
  - (2) Submit reports of all other incidents within forty-eight (48) hours of the event, or, if later, the next business day.
- (b) A Provider must submit all reports to the beneficiary's assigned PASSE and to DDS.
- (c) Reporting under these standards does not relieve a Provider of complying with other applicable reporting or disclosure requirements under state or federal laws, rules, or regulations.

**703. Notification to Legal Guardians.**

- (a) If a beneficiary has a legal guardian, then a Provider must notify the legal guardian of any reportable incident involving the beneficiary within one (1) hour of discovery.
- (b) A Provider must maintain documentation evidencing notification as required in (a).

**Subchapter 8.        Enforcement.**

**801.    Monitoring.**

- (a)
  - (1)    DDS shall monitor a Provider to ensure compliance with these standards.
  - (2)
    - (A)    A Provider must cooperate and comply with all monitoring, enforcement, and any other regulatory or law enforcement activities performed or requested by DDS or law enforcement.
    - (B)    Cooperation required under these standards includes without limitation cooperation and compliance with respect to investigations, surveys, site visits, reviews, and other regulatory actions taken by DDS or any third-party contracted by DHS to monitor, enforce, or take other regulatory action on behalf of DHS, DDS, or its delegate.
- (b)    Monitoring includes without limitation:
  - (1)    On-site surveys and other visits including without limitation complaint surveys and initial site visits;
  - (2)    On-site or remote file reviews;
  - (3)    Written requests for documentation and records required under these standards;
  - (4)    Written requests for information; and
  - (5)    Investigations related to complaints received.
- (c)    DHS may contract with a third party to monitor, enforce, or take other regulatory action on behalf of DHS or DDS.

**802.    Written Notice of Enforcement Action.**

- (a)    DDS shall provide written notice to a Provider of all enforcement actions taken against the Provider.
- (b)    DDS shall provide written notice to a Provider by mailing the imposition of the enforcement action to the manager appointed by the Provider pursuant to section 301.

**803. Enforcement Actions.**

- (a)
  - (1) DDS shall not impose an enforcement action unless:
    - (A) Provider is given written notice pursuant to section 802 and an opportunity to be heard pursuant to subchapter 10; or
    - (B) DDS determines that public health, safety, or welfare imperatively requires emergency action.
  - (2) If DDS imposes an enforcement action as an emergency action before a Provider receives written notice and an opportunity to be heard pursuant to subsection (a)(1) of this part, DDS shall:
    - (A) Provide immediate written notice to Provider of the enforcement action; and
    - (B) Allow Provider an opportunity to be heard pursuant to subchapter 10.
- (b) DDS may impose on a Provider any of the following enforcement actions for a failure to comply with these standards:
  - (1) Plan of correction;
  - (2) Directed in-service training plan;
  - (3) Moratorium on new admissions;
  - (4) Transfer of beneficiaries;
  - (5) Monetary penalties;
  - (6) Suspension of certification;
  - (7) Revocation of certification; and
  - (8) Any remedy authorized by law or rule including without limitation Ark. Code Ann. § 25-15-217.
- (c) DDS shall determine the imposition and severity of these enforcement actions on a case-by-case basis using the following factors:
  - (1) Frequency of noncompliance;
  - (2) Number of noncompliance issues;

- (3) Impact of noncompliance on a beneficiary's health, safety, or well-being;
  - (4) Responsiveness in correcting noncompliance;
  - (5) Repeated noncompliance in the same or similar areas;
  - (6) Noncompliance with previously or currently imposed enforcement actions;
  - (7) Noncompliance involving intentional fraud or dishonesty; and
  - (8) Noncompliance involving violation of any law, rule, or other legal requirement.
- (d)
- (1) DDS shall report any noncompliance, action, or inaction by a Provider to appropriate agencies for investigation and further action.
  - (2) DDS shall report noncompliance involving Medicaid billing requirements to DMS, the Arkansas Attorney General's Medicaid Fraud Control Unit, and the Office of Medicaid Inspector General.
- (e) These enforcement actions are not mutually exclusive and DDS may apply multiple enforcement actions simultaneously to a failure to comply with these standards.
- (f) The failure to comply with an enforcement action imposed by DDS constitutes a separate violation of these standards.

**804. Moratorium.**

- (a) DDS may prohibit a Provider from accepting new beneficiaries.
- (b) A Provider prohibited from accepting new admissions may continue to provide services to existing beneficiaries.

**805. Transfer of Beneficiaries.**

- (a) DDS may require a Provider to transfer a beneficiary to another provider if DDS finds that the Provider cannot adequately provide services to the beneficiary.
- (b) If directed by DDS, a Provider must continue providing services until the beneficiary is transferred to their new service provider of choice.

- (c) A transfer of a beneficiary may be permanent or for a specific term depending on the circumstances.

**806. Monetary Penalties.**

- (a) DDS may impose on a Provider a civil monetary penalty not to exceed five hundred dollars (\$500) for each violation of these standards.
- (b)
  - (1) DDS may file suit to collect a civil monetary penalty assessed pursuant to these standards if the Provider does not pay the civil monetary penalty within sixty (60) calendar days from the date DDS provides written notice to the Provider of the imposition of the civil monetary penalty.
  - (2) DDS may file suit in Pulaski County Circuit Court or the circuit court of any county in which the Provider is located.

**807. Suspension and Revocation of Certification.**

- (a)
  - (1) DDS may temporarily suspend a Provider's certification if Provider fails to comply with these standards.
  - (2) If a Provider's certification is suspended, Provider must immediately stop providing the CES Waiver Service until DDS reinstates its certification.
- (b)
  - (1) DDS may permanently revoke a Provider's certification if Provider fails to comply with these standards.
  - (2) If a Provider's certification is revoked, Provider must immediately stop providing the CES Waiver Service and comply with the permanent closure requirements in section 901(a).



**Subchapter 9.        Closure.**

**901.    Closure.**

(a)

- (1) A CES Waiver Service certification ends if a Provider permanently closes, whether voluntarily or involuntarily, and is effective the date of the permanent closure as determined by DDS.
- (2) A Provider that intends to permanently close, or does permanently close without warning, whether voluntarily or involuntarily, must immediately:
  - (A) Provide the beneficiary or, if applicable, the beneficiary's legal guardian, with written notice of the closure;
  - (B) Assist each beneficiary and, if applicable, their legal guardian, in transferring services and copies of beneficiary records to any new service providers;
  - (C) Assist each beneficiary and, if applicable, their legal guardian, in transitioning to new service providers; and
  - (D) Arrange for the storage of beneficiary service records to satisfy the requirements in section 305.

(b)

- (1) A Provider that intends to voluntarily close temporarily due to natural disaster, pandemic, completion of needed repairs or renovations, or for similar circumstances may request to temporarily close while maintaining its CES Waiver Service certification for up to one (1) year from the date of the request.
- (2) A Provider must comply with subdivision (a)(2)'s requirements for notice, referrals, assistance, and storage of beneficiary records if DDS grants Provider's request for a temporary closure.
- (3)
  - (A) DDS may grant a temporary closure if Provider demonstrates that it is reasonably likely it will be able to reopen after the temporary closure.
  - (B) DDS shall end a Provider's temporary closure and direct Provider to permanently close if Provider fails to demonstrate that it is reasonably likely that Provider will be able to reopen after the temporary closure.

(4)

- (A) DDS may end a Provider's temporary closure if Provider demonstrates that it is in full compliance with these standards.
- (B) DDS shall end a Provider's temporary closure and direct Provider to permanently close if Provider fails to become fully compliant with these standards within one (1) year from the date of the request.

PROPOSED

**Subdivision 10.      Appeals.**

**1001. Reconsideration of Adverse Regulatory Actions.**

(a)

- (1) A Provider may ask for reconsideration of any adverse regulatory action taken by DDS by submitting a written request for reconsideration in accordance with DDS Policy 1076.
- (2) The written request for reconsideration of an adverse regulatory action taken by DDS must be submitted by Provider and received by DDS within thirty (30) calendar days of the date of the written notice of the adverse regulatory action received by Provider.
- (3) The written request for reconsideration of an adverse regulatory action must include without limitation:
  - (A) The specific adverse regulatory action taken;
  - (B) The date of the adverse regulatory action;
  - (C) The name of Provider against whom the adverse regulatory action was taken;
  - (D) The address and contact information for Provider; and
  - (E) The legal and factual basis for reconsideration of the adverse regulatory action.

(b)

- (1) DDS shall review each timely received written request for reconsideration and determine whether to affirm or reverse the adverse regulatory action taken.
- (2) DDS may request, at its discretion, additional information as needed to review the adverse regulatory action and determine whether the adverse regulatory action taken should be affirmed or reversed.

(c)

- (1) DDS shall issue in writing its determination on reconsideration within thirty (30) days of receiving the written request for reconsideration or within thirty (30) days of receiving all information requested by DDS under subdivision (b)(2) of this part, whichever is later.

- (2) DDS shall issue its determination to Provider using the address and contact information provided in the request for reconsideration.
- (d) DDS may also decide to reconsider any adverse regulatory action on its own accord any time it determines, in its discretion, that an adverse regulatory action is not consistent with these standards.

**1002. Appeal of Regulatory Actions.**

- (a)
  - (1) A Provider may administratively appeal any adverse regulatory action covered by the Medicaid Fairness Act, Ark. Code Ann §§ 20-77-1701 to -1718, which shall be governed by that Act.
  - (2) The DHS Office of Appeals and Hearings shall conduct administrative appeals of adverse regulatory actions pursuant to DHS Policy 1098 and other applicable laws and rules.
  - (3) Any administrative appeal must be submitted by Provider and received by the DHS Office of Appeals and Hearings within thirty (30) calendar days of the date of the written notice of the adverse regulatory action received by Provider, or, if later, thirty (30) calendar days of the date of the denial letter received by Provider related to a written request for reconsideration.
- (b) A Provider may appeal any adverse regulatory action or other agency action to circuit court as allowed by the Administrative Procedures Act, Ark. Code Ann. §§ 25-15-201 to -220.

## **RULES SUBMITTED FOR REPEAL**

**Rule #1: Arkansas Refugee Resettlement Program  
State Plan**

**Rule #2: DHS Policy3007, Options Counseling**



Mike Huckabee  
Governor

## Arkansas Department of Human Services Office of the Director

329 Donaghey Plaza South  
P.O. Box 1437  
Little Rock, Arkansas 72203-1437  
Telephone (501) 682-8650 FAX (501) 682-6836 TDD (501) 682-7958

January 31, 2003

Nguyen Van Hanh, Ph.D.  
Director  
Office of Refugee Resettlement  
Administration for Children and Families  
Office of Family Assistance  
370 L'Enfant Promenade  
Washington, D.C. 20447

Dear Dr. Van Hanh:

Enclosed for approval is Arkansas' revised State Plan for the Refugee Resettlement Program.

The Plan reflects the discontinuance of the State's participation in the Social Services portion of the program. It is the intent of the State of Arkansas to continue serving eligible refugees with cash assistance and medical assistance as required by the Final Rule, Federal Register Vol. 65, number 56, published March 22, 2000.

With the State of Arkansas' withdrawal from the service portion of the program, the responsible staff will need instruction regarding which of the previous reports will still be required. Your assistance in this will be greatly appreciated.

If you have any questions, please contact Lorie Williams at (501) 682-8256.

Sincerely yours,

Kurt Knickrehm  
Director

KK:JJ:lw

Enclosure

cc: Carl Rubenstein, Refugee Program Specialist  
file

**ARKANSAS**

**STATE PLAN  
REFUGEE RESETTLEMENT  
PROGRAM**

**2002**

**Arkansas Department of Human Services**

**Division of County Operations**

**P.O. Box 1437**

**Little Rock, AR 72203**

**REPEAL-EO 23-02**

## CERTIFICATION

### STATE OF ARKANSAS

The Department of Human Services has the authority to prepare the State Plan for the Refugee Resettlement Program and is the sole State Agency responsible for administering the Refugee Resettlement Program within the State.

I hereby certify that I am authorized by the Governor of Arkansas to submit the State Plan for the Refugee Resettlement program.

I hereby approve the State Plan for the Refugee Resettlement Program, which has been prepared in accordance with the guidelines established for Refugee State Plan Amendment submissions.

January 31, 2003

Date



Kurt Knickrehm, Director  
Department of Human Services

# REPEAL-EO 23-02



## INTRODUCTION

Ref. 45 CFR 400.4 (a): This document, known as ARKANSAS STATE PLAN for the REFUGEE RESETTLEMENT PROGRAM, serves to consolidate and update all previous State Plan submissions into one document. Upon approval, this revised State Plan will replace all previously submitted State Plan Documents.

Ref. 45 CFR 400.4 (b): Upon approval, the State Plan for the Refugee Resettlement Program will become effective October 1, 2002. The plan will remain in effect until the State expressly amends or revokes the plan, or the Office of Refugee Resettlement notifies the State that the plan no longer meets requirements of the Title IV of the Immigration and Nationality Act.

# REPEAL-EO 23-02

## PROGRAM AUTHORIZATION

The Refugee Act of 1980 and Public Law 96-212 provide for special refugee cash and medical assistance, and refugee social services in order to increase refugee self-sufficiency.

## PROGRAM GOALS

The Refugee Act of 1980 has established that the state, in order to receive Federal funds under the Refugee Resettlement program, submit a plan that describes how the State delivers cash assistance, medical assistance and social services to the refugees to encourage effective refugee resettlement, and to promote economic self-sufficiency.

The Arkansas Department of Human Services, through the Division of County Operations, sets the following goal for the Arkansas Refugee Resettlement Program:

To promote economic self-sufficiency for refugees within the shortest possible time after entrance into the State of Arkansas. This is promoted through cash and medical assistance as may be required. Economic self-sufficiency is defined as gainful employment in non-subsidized jobs with at least a 90-day retention and receipt of a wage adequate for the basic economic needs of the person and family without reliance on public assistance. The State will comply with all other applicable Federal Statutes and regulations in effect during the time that it is receiving grant funding. (§400.5 (1) (3)).

Arkansas will provide statewide access to the medical and cash assistance portion of the program for all refugees, including asylees and Cuban Haitian entrants as required by Office of Refugee State Letter # 94-22, dated September 9, 1994 and State Letter # 00/12 dated June 15, 2000. (See Attachment I & II).

## PROGRAM PRIORITIES

The provision of cash and medical assistance to refugees in the State of Arkansas is linked with their willingness to accept employment, or training designed to lead to employment. Every attempt is made to place capable and non-exempt refugees to work within 30 days of their resettlement. Those refugees who refuse to register or accept appropriate employment, including entry-level and minimum wage jobs are sanctioned. The State will use the same mediation/conciliation procedures as those for the State's TANF program. The State will use the hearing standards and procedures as set forth in §400.83 (b).

ASSURANCE OF COMPLIANCE WITH TITLE IV OF THE  
IMMIGRATION AND NATIONALITY ACT

The plan has been developed in accordance with the Refugee act of 1980 and 45 CFR, Chapter IV, parts 400 and 401. The plan encompasses cash and medical assistance to refugees during the first eight months of residence in the United States.

400.5 (a): The single state agency, in Arkansas, which is responsible for the development and administration of this plan, is the Arkansas Department of Human Services. The position of State Refugee Coordinator will be maintained within the Division of County Operations, Office of Program Planning and Development. The State Refugee Coordinator is given the responsibility and authority to ensure coordination of public and private resources in refugee resettlement within the State. The state coordinator maintains responsibility for the projection of estimated expenditures, accountability for Federal funds, coordination of the administration and provision of services and maintaining a working relationship between the department of Human Services and the Governor's Office.

400.22 (a): The Arkansas Department of Human Services assures that it will not delegate, to other than its own officials, responsibility for administering or supervising the administration of this plan.

400.5 (b): All policy changes will be communicated to staff and any appropriate public agencies by memos circulated from the State Coordinator's office.

400.5 (I): The State assures that it will comply with Title IV, Chapter 2, of the Immigration and Nationality Act, with official issuance of the Director of the Office of Refugee Resettlement, and with all other applicable Federal statutes and regulations. The department further assures that it will amend this State Plan to meet the requirements of this part as needed to comply with standards, goals, and priorities established by the Director of the Office of Refugee Resettlement.

400.5 (g) The State assures that assistance and services funded under the plan will be provided without regard to race, religion, sex, political opinion, national origin, or sexual orientation. The state will use the same procedures for mediation/conciliation policies as those used in its TANF program in its publicly administered program.

400.83 (h): The State will use the hearing standards and procedures as set forth in 400.83 (b). The State will provide an applicant for, or recipient of, Refugee Cash Assistance an opportunity for a hearing, using the



procedures and standards set forth in 45 CFR 400.54 of the ORR regulations, to contest a determination concerning employability, or failure or refusal to carry out a job search or to accept an appropriate offer of employability, services or employment, resulting in termination of assistance.

400.25: The State assures that no requirements as to the duration of residence will be imposed as a condition of participation in services or receipt of assistance.

400.27: The State recognizes that information about, or obtained from, an individual and in possession of an agency providing assistance or services to such individuals under the plan, will not be disclosed in a form identifiable with the individual without the individual's consent, or in the case of a minor, the consent of his or her parent or guardian.

400.28: The State will assure that operational records are maintained which fully and accurately reflect and account for all of the transactions of the program. The State Refugee Coordinator shall be responsible for reporting on all the activities of the program as needed, or at regularly required intervals, and for submitting needed plan amendments.

Responsibility for certification of eligibility for cash and medical assistance will be handled by the same State apparatus and personnel that deals with Title XIX and Title IV-A, TANF programs. All special Federal provisions pertaining to the refugee-related activities have been incorporated.

This plan is based on the State's experience with refugees since 1975, and is sufficiently flexible to accommodate minor fluctuations in refugee population. Major influx or eligibility changes could require plan amendment.

## I. PROGRAM ORGANIZATION

Arkansas continues a publicly administered program. The Department of Human Services continues to be the single State agency, designated by the governor, for the administration and development of the Refugee Resettlement program Plan. (See attachment III.)

- A. The Refugee Resettlement Program is organizationally placed within the Division of County Operations (DCO). (See attachment IV (a), IV (b).)
- B. The Division of County Operations is divided into five offices: Office of Program Planning and Development, Office of Field Operations, Office of Administrative Support, Office of Program Support, and Office of Community Services.

- C. The Division of County Operations is responsible for setting all policy for the Refugee Resettlement Program in Arkansas, and providing and supervising all services to refugees.
1. The chief administrative officer is the DCO Director, who is responsible to the DHS Director. This person has general direction and supervision of the Refugee Resettlement Program (RRP).
  2. RRP program responsibilities of the office are:
    - (a) Provide income support to refugees, as needed, through the Refugee Cash Assistance (RCA). This support will be available to refugees at all local DHS offices.
    - (b) Provide medical assistance to refugees, as needed, through the Refugee Medical Assistance (RMA). This support will be available to refugees at all local DHS offices.
  3. The State agency will not delegate to other than its official's responsibility for administering, or supervising the administering of the State Plan.

C. DESIGNATED STATE AGENCY OFFICIAL

**REPEAL-EO 23-02**

The Governor's office has named the Director of the Department of Human Services as the Designated State Agency Official. This individual will be responsible for the coordination of all publicly administered services for refugees.

II. RELATIONSHIP TO AND USE OF OTHER AGENCIES

- A. There will be maximum utilization of and coordination with all public and voluntary agencies providing similar or related services.
- B. Relationships with other programs within the Department include licensing responsibilities for childcare agencies: foster care: providing social services to families and children.
- C. DHS/DCO may use, in addition to regular agency staff, professional and voluntary sources, who are multilingual.
- D. The DHS/Division of County Operations may purchase services from public or private agencies as needed.

### III. METHOD OF PROVIDING INFORMATION TO THE STATE STAFF

The State agency has a manual policy system covering all Income Maintenance Programs. One of these programs is the Refugee Resettlement Program. This is a formalized system and all policy is distributed to the field staff and to the county offices.

### IV. PURCHASE OF SERVICE REQUIREMENT

The State provides services directly to the refugee community through the Department of Human Services County offices, throughout the State. It may purchase services from public or private providers when necessary. The State must determine, prior to entering into a purchase of service agreement, that its total funding authorization is sufficient for that purpose.

### V. UNACCOMPANIED MINORS

The State will administer services and benefits as provided in Subpart H-Child Welfare Services. As defined by the Refugee Act of 1980, a refugee unaccompanied minor is:

#### A. DEFINITION

- REPEAL-EO 23-02**
- person who has not yet attained his or her 18<sup>th</sup> birthday, of the age of majority in the state in which he is residing; and
  - who has no known immediate adult relatives in the United States; and
  - who has been lawfully admitted to the United States in parole status; and
  - who meets the general definition of a refugee.

B. Unaccompanied minors are not generally eligible for adoption because the goal for unaccompanied refugee children is reunification.

#### C. SCOPE OF SERVICES

1. Child welfare benefits and services available in foster care cases to other children in the state apply to lawfully admitted unaccompanied refugee minors.
2. Application policy includes preparation of a case plan for each child, implementation of the plan, payment of benefits, and periodic case review and reporting.



3. The state agency's child welfare standard practices and procedures should prevail in providing services to these children.
4. Scope of services provided is to include specialized services that are provided in a culturally and linguistically appropriate manner.

#### D. PROCEDURE

Voluntary resettlement agencies under contract with the State Department will facilitate the admission and placement of these children.

1. There shall be arrangements made whereby the State Agency establishes legal responsibility through a sponsor for the care and maintenance of the unaccompanied minor. The purpose of establishing legal responsibility is to ensure that the unaccompanied children receive the full range of assistance, care and services to which any child in the state is entitled, and to designate a legal authority to act in place of the child's unavailable parent(s). This action will follow the process normally required by state law to establish protective legal responsibility for a minor child. (However, in determining legal responsibility, it is inappropriate to initiate contact with the child's natural parents overseas because of potential danger to the parents.)

2. The State Agency will develop and implement a plan for care and services appropriate to the needs of an unaccompanied minor in the legal custody of a sponsor.

**REPEAL-EO 23-02**

#### VI. REPORTING

DHS/DCO shall submit the following reports as indicated to the Director of ORR.

1. Refugee and Entrant Unaccompanied Minor Placement Report (Form ORR-3)
2. Refugee and Entrant Unaccompanied Minor Progress Report (Form ORR-4)
3. Quarterly Reports (ORR-6)
4. Annual Services Plan (FSA-110)
5. State Estimate Report (ORR-I)
6. Annual Outcome Goals Report
7. State of Origin Report (ORR-11)

VII. PLAN FOR PROMOTION OF ECONOMIC SELF-SUFFICIENCY OF THE REFUGEE

A. CASH ASSISTANCE

In order for a person to be eligible for Refugee Cash Assistance, he/she must:

- Have one of the recognized statuses as defined in 45 CFR §400.43 or is the dependent child of, and part of the same family unit as individuals who meet identification requirements; and are within 8 months of date of entry into the United States.
- Be in financial/medical need according to the public assistance standard of TANF, known as Transitional Employment Assistance (TEA) in the State of Arkansas.
- Unable to meet the categorical eligibility requirements for TANF, SSI, OAA, AB, APTD, and AABD.
- Not be a full-time student in an institution of higher education.
- Not, for the purpose of receiving assistance, have voluntarily quit, or refused to apply for or accept, any appropriate offer of employment or employment-related training.

REPEAL-EO 23-02

The State of Arkansas has opted for a publicly administered RCA program. The State will notify promptly the local resettlement agency when a refugee applies for RCA and will contact the applicant's sponsor or local resettlement agency at the time of application for RCA concerning offers of employment. RCA policies/procedures will be consistent with the provisions of Arkansas' TANF program in regard to: (1) The determination of initial and on-going eligibility (treatment of income and resources, budgeting methods, needs standard); (2) the determination of benefit amounts (payment levels based on size of the assistance unit, income disregards) and (3) proration of shelter, utilities, and similar needs. TANF work requirements will not apply to RCA applicants or recipients. The following will not be counted as income or resources for RCA eligibility:

1. A refugee's resources remaining in his or her country of origin.
2. A sponsor's income and resources are not considered accessible to a refugee solely because the person is serving as a sponsor.
3. Any cash grant received by the applicant under the Department of State or Department of Justice Reception and Placement programs.



Other provisions for RCA include:

- Income available to the refugee on the date of application will be the basis for determining eligibility. Assistance will begin the month in which the refugee applies for cash assistance, so long as the person is within eight months of arrival into the country in the application month. The State will adhere to Federal regulations applicable to publicly administered programs as contained in 45CFR Part 400-Refugee Resettlement Program.
- The county DHS enrolls refugees in whatever mainstream cash assistance program is deemed appropriate for the applicant/unit. This includes TANF, for families with dependent children, and RCA. The blind, elderly, and disabled may be referred to Social Security to apply for SSI.
- Refugees receiving cash assistance will have a family self-sufficiency plan developed for the purpose of enabling the family to become self-supporting through employment of one or more family members. The DHS staff person will develop the plan in collaboration with the refugee.
- Within thirty days, non-exempt refugees who are aide recipients, are enrolled in an employment services program. The work registration referral is made to the local Employment Security Department. Arkansas chooses not to change the employment exemptions allowed previously, in 45 CFR 400.76. The State adheres to 45 CFR 400.81 criteria for appropriate employability services and employment. For example, no refugee is placed in a work site, which is in violation of applicable Federal, State, or local health and safety standards.
- Failure or refusal to accept employability services or employment will result in termination of cash assistance or sanctioning in accordance with 45 CFR 400.82. A conciliation period and fair hearings are provided refugees as outlined in 45 CFR 400.83.

#### B. MEDICAL ASSISTANCE

As with cash assistance, medical assistance applications will be taken and maintained through the county DHS offices. Arkansas provides the same services in the same manner and to the same extent as under the State's Title XIX Medicaid program as delineated in 42 CFR Part 400.

1. Each individual member of the assistance unit is assessed separately for eligibility for medical assistance.
2. If qualified for the State's Medicaid or CHIP program, a refugee is enrolled in these instead of RMA.

3. Maximum eligibility for RMA is eight months, beginning the month of arrival in the United States.
4. All other provisions of 45 CFR Subpart G-Refugee Medical Assistance will be followed regarding continued coverage of recipients who receive increased earnings from employment.
  - a. Increased earnings from employment will not affect a refugee's continued medical assistance eligibility for RMA throughout the remainder of the eight-month eligibility period.
  - b. Where a refugee on Family and Children's Medicaid loses eligibility during the first eight months of residency, due to increased earnings, the case will be transferred to RMA for the remaining months of eligibility.
  - c. A refugee who obtains private medical coverage may remain on RMA as supplement to the insurance. RMA may be used to pay that which is not covered by the third party payment.

Medical Screening

## REPEAL-EO 23-02

In the absence of a contracted provider, the local VOLAG representatives assist new arrivals in obtaining health screenings. There is no charge for elementary health screening at the Department of Health. Health Department facilities are encouraged to work with the resettlement agencies to coordinate transportation and interpreter services necessary for the health assessment screening and any required follow-up. Refugee Health Assessment will include:

Screening and treatment for health conditions of public health concern; health status evaluation and diagnosis of problems; follow-up for conditions identified prior to entry in U.S.; referral for any follow-up care needed; and education regarding the availability of health services.

### VIII. PLAN FOR IDENTIFYING REFUGEES IN NEED OF MEDICAL TREATMENT

The American Council of Voluntary Agencies for Foreign Services, Inc. (ACFA) provides identifying information about all new arrivals to the State. Refugees are contacted, by the service provider or by personnel from the State Department of Health, for screening in accordance with 45 CFR 400.107(a)(1).



Local Health Departments in Arkansas serve, to the extent possible, the health needs of newly arriving refugees. As part of the RMA program, application for RMA and assistance for follow-up treatment and health monitoring is provided through the providers as prescribed in 45 CFR 400.5(f) and 400.107(a)(1). Screenings are performed as soon after arrival as possible, within 30-90 days.

A refugee will be assessed for RMA eligibility only after being determined ineligible for Medicaid and or SCHIP.

IX. NONDISCRIMINATION PRACTICES

Assistance and services funded under this plan will be provided to refugees without regard to race, religion, nationality, sex, or political opinion.

X. POLICIES AND REGULATIONS COMPLIANCE

The State of Arkansas will comply with the provisions of Title IV of the Act, official issuances of the Director, and all applicable regulations, and will amend the plan as needed to comply with standards, goals and priorities established by the Director.

The State has complied with the new rules regarding the eligibility of refugees for ORR funded program services that took effect April 1, 2000. The State will base RMA on the applicant's income and resources on the date of application. (\$400.102(d)). The State will use the 200% of poverty option as the eligibility standard for RMA as prescribed in (§400.101(a)(2) and (§400.101(b)(2)).

The State will not count R&P, MG, or RCA assistance on the date of application. Refugees, who lose eligibility for Medicaid due to employment during the first eight months, will be transferred to RMA for the duration of the eight-month eligibility period without an eligibility determination. (§400.104(b)).

Whether a refugee has been denied or terminated from RCA will not be used as criterion for determining that an applicant is ineligible for RMA. (400.100(a)). A refugee may continue to receive refugee medical assistance (RMA) for the full eight-month eligibility period, regardless of income, or whether the recipient obtains private medical coverage, as long as the RMA payment is reduced by the amount of the third party payment.

The State of Arkansas is in compliance with the rule that limits eligibility for Refugee Social Services and targeted assistance services to refugees who have been in the U. S. for five years or less.

X. POLICIES ON SERVING LEP REFUGEES

In accordance with the Office of Civil Rights policy guidelines and following the four "Keys to Compliance," (FR, vol. 65, no. 169) the Arkansas State Refugee Office will monitor programs to ensure linguistic and culturally accessible services are being provided to refugees. The State Refugee Office will maintain up-to-date information on the demographics of the refugee population within the state and include this information in the ongoing development of a comprehensive written policy on language access. All Grantees and contractors receiving funds through the Arkansas Refugee Office will be advised of the need for adequate language accessibility services. Language accessibility will include oral language interpreters, the translation of written materials in regularly encountered languages within their service areas and an effective method of providing notices advising Limited English Proficient persons of their right to language assistance. The Refugee Office will also sponsor ongoing staff development training to ensure that employees working with Limited English Proficient persons are both knowledgeable and aware of LEP policies and procedures. Written information concerning the RCA program, including eligibility standards, duration and amount of cash assistance payments, the requirements for participation in services, the penalties for non-compliance and client rights and responsibilities are will be provided, in appropriate languages, as required by numbers of any group (as per ORR 400.55).

At this time the program consists of groups numbering less than twenty-five persons and written materials will not be feasible financially. To comply with Title VI the following (not limited to) method will be used to convey to the LEP population their right to language assistance:

1. Signs in appropriate public places (right to free translation/interpretation) as deemed necessary by numbers of persons accessing assistance.
2. Messages in the monthly newsletter, published in four languages, sent to the refugee community by the service provider.
3. Verbal notification through staff at the service provider center, Social Services Offices and the general refugee population.

#### XI. STATE PLAN FOR CUBAN /HAITIAN ENTRANT PROGRAM

Under title V of the Refugee Education Assistance Act of 1980 (P. L. 96-422) and supporting regulations of the Office of Refugee resettlement (ORR) at 45 CFR part 401, Cuban and Haitian entrants (as defined in ORR State Letter #94-22, published September 9, 1994) will be eligible for services on the same basis as refugees.

In accordance with title V of the Refugee Education Assistance Act of 1980 (P.L. 96-422), the President "shall exercise authorities with respect to Cuban and



Haitian entrants which are identical to the authorities which are exercised under Chapter 2 of title IV of the Immigration and Nationality Act”

Section 412(a)(6) of chapter 2 of title IV of the Immigration and Nationality Act provides that, as a condition for receiving assistance under that chapter, a State must submit to the Director of the Office of Refugee Resettlement, Department of Health and Human Services, a plan which satisfies listed requirements, see 8 U.S.C 1522-(a)(6)(A) and 45 CFR 400, Subpart B Fed. Reg. 59323 (September 9, 1980). Similarly, as a condition for receiving assistance under section 501 (a) of the Refugee Education Assistance Act of 1980, States must submit plans for their Cuban/Haitian Entrant Program.


Therefore, the State of Arkansas hereby submits its plan for a program to provide assistance to Cuban and Haitian Entrants under the following terms and conditions.

- (a) The State agency responsible for administering or supervising the administration of the Refugee Resettlement plan under title IV of the Immigration and Nationality Act will be responsible for administering or supervising the administration of the Cuban/Haitian Entrant Program.
- (b) The State will encourage the effective resettlement of Cuban and Haitian Entrants and promote economic self-sufficiency as quickly as possible through the effective use of cash assistance and medical assistance through the methods described in the State Plan for Refugee Resettlement.
- (c) The State Coordinator (as defined in 45 CFR 400.2, 45 Fed. Reg. 59323, September 9, 1980) who is responsible for ensuring coordination of public and private resources in refugee resettlement, will be responsible for insuring coordination of public and private resources in Cuban and Haitian Entrant resettlement.
- (d) The State will provide for the care and supervision of, and insure that legal responsibility is arranged for, unaccompanied Cuban and Haitian Entrant children in the State. The State will also be required to submit a statement subsequent to the issuance of an Action Transmittal regarding unaccompanied Cuban/Haitian Entrant minors indicating the procedures to be observed in arranging for the legal responsibility of unaccompanied Cuban and Haitian Entrant children as well as describing programs and services to be undertaken in behalf of these children pursuant to the requirements of the Refugee Act of 1980. This statement shall conform to Federal policies, regulations, Action Transmittals and other issuances pertaining to the responsibility of States under the Refugee Act of 1980.

- (e) The State will use those procedures described in its State Plan for Refugee Resettlement for the identification of Cuban and Haitian Entrants who, at the time of resettlement in the State, are determined to have medical conditions requiring, or medical histories indicating a need for, treatment or observation and for the monitoring of any necessary treatment or observation.
- (f) The State will provide assistance and services to the eligible Cuban and Haitian Entrants without regard to race, religion, nationality, sex, or political opinion.
- (g) The State will comply with: (1) the provisions of Title IV, chapter 2, of the Immigration and Nationality Act, as applicable to the provision of assistance to Cuban and Haitian Entrants under section 501(a) of the Refugee Education Assistance Act of 1980; (2) all applicable regulations; and (4) the provisions of this State Plan. The State will amend this plan as required to comply with standards, goals, and priorities established by the Director.
- (h) The State will administer its Cuban/Haitian Entrant Program in accordance with the regulatory requirements regarding plan amendments, submittal of plans for Governor's review, maintenance of records and reports, and confidentiality of records applicable to the Refugee Resettlement Program under 45 CFR 400.6, 400.7, 400.10 and 400.11, Federal Register 59324, September 9, 1980.
- (i) The State acknowledges and agrees that all Federal reimbursements for assistance provided Cuban and Haitian Entrants after November 1, 1980, is conditioned upon submission of this plan, duly signed with all of its provisions.

January 31, 2003

Date

  
\_\_\_\_\_  
Governor, or Designated State  
Agency Official, or State  
Coordinator

6000 REFUGEE RESETTLEMENT PROGRAM

INTRODUCTION

The Refugee Resettlement Program (RRP) is a federally funded program to provide cash assistance, medical assistance and social services to refugees. It is authorized by the Refugee Act of 1980 (Public Law 96-212) and amended by the Refugee Assistance Amendments of 1982 (Public Law 97-363) and the Refugee Assistance Extension Act of 1986 (Public Law 99-605).

The Division of County Operations of the Department of Human Services (DHS) has the responsibility for administering the Refugee Resettlement Program.

6100 PURPOSE

The purpose of RRP is to provide Refugee Cash Assistance (RCA), Refugee Medical Assistance (RMA), and Social Services to eligible refugees.

This policy will correlate RRP regulations as closely as possible to existing DHS programs. Similarities and differences will be noted accordingly.

6200 DEFINITION

A refugee is defined by law as "any person who is outside any country of such person's nationality or, in the case of a person having no nationality, is outside any country in which such person last habitually resided, and who is unable or unwilling to return to, and is unable or unwilling to avail himself or herself of the protection of, that country because of persecution or a well-founded fear of persecution on account of race, religion, nationality, membership in a particular social group, or political opinion. The term "refugee" does not include any person who ordered, incited, assisted, or otherwise participated in the persecution of any person on account of race, religion, nationality, membership in a particular social group, or political opinion".

6201 ELIGIBLES

Individuals admitted to the United States under the criteria listed in FA 6501 meet the definition of a refugee. Each refugee will have his/her refugee status determined individually. It is possible that not all members of a family will have entered the United States with refugee status. Some family members may have been admitted as immigrants or parolees. Only those individuals with a documented refugee status are eligible. Programs available to eligible individuals include cash and medical assistance, and social services under the Refugee Resettlement Program.

6202 IDENTIFICATION NUMBER

This number appears on the INS Forms I-94 and I-551. It will be used in every instance to identify each refugee. The number will have the prefix A (e.g., A24-478-475).

Amerasians will have a unique identifier. A-numbers (beginning with 4) will appear in block 20 on the back of the I-94. Block 26 (Comment Section) will contain a stamp showing the word "Admitted" and the code AM1, AM2, or AM3 next to the word "Class" on the stamp. Above "Class" will be an abbreviation for the port of entry and the handwritten date of arrival.

If an Amerasian presents an I-551, the codes AM6, AM7, or AM8 will appear.

#### 6300 DETERMINATION OF ELIGIBILITY UNDER OTHER PROGRAMS

Any refugee or refugee family group potentially eligible for AFDC or SSI must be referred for a determination of eligibility in those programs.

If it is determined that the refugee applicant is not eligible under the AFDC or SSI program, eligibility for refugee cash assistance must be determined.

If a refugee requests only medical assistance, then eligibility for Medicaid will be explored. If the refugee client is not eligible for Medicaid, then eligibility will be determined for Refugee Medical Assistance (RMA).

#### 6400 INITIAL APPLICATION PROCESS

#### 6401 PERSONS TO BE INCLUDED IN RRP ASSISTANCE APPLICATIONS

Each individual refugee age 18 or over will have his application processed as an individual unless he has a spouse or is the parent of minor children. One application will be processed for parents and minor children. A married couple with no children will be processed as one application. A minor child who was born to a refugee parent or parents after the parent or parents entered the U.S. can be included in the refugee assistance group of the parent although the child is actually a citizen of the United States. One application will be processed for a group of minor siblings.

For example, a refugee household group consisting of a man and his wife, two minor sons, ~~their 18 year old daughter, two minor nephews and the man's elderly parents, would involve four refugee assistance applications. One application for the 18 year old daughter and one for his elderly parents is required. One family application for the man, his wife, and two minor sons.~~ A separate application is needed for the two minor nephews with the payee on this application being whichever of the adults in the home is assuming the responsibility for the care of these children. Each of the budget groups would be subject to the maximum grant for the number of individuals in the budget group. This means that the maximum grant for the family application of a man, his wife, and two minor sons would be the maximum grant for four. The maximum grant for the 18 year old daughter would be the maximum grant for one, and the same principle would apply to other budget groups of RRP refugees.

#### 6402 ACCEPTING AND REGISTERING RRP ASSISTANCE APPLICATIONS

When a refugee requests financial assistance for himself or for a group of minor children for whom he is responsible, accept and process the application in the usual way. Seek social security numbers through the local Social Security Office when needed. (See FA 2280).

Application and Certification Procedure for RRP:

1. Determine whether the client wants cash assistance or medical assistance only.



2. If cash assistance is requested, evaluate for AFDC eligibility. If eligible, proceed according to FA 2201. If there are aged, blind or disabled adults or disabled children in the family group, refer them to the local Social Security Office for SSI determination at the time of application.
3. When it has been determined that the RCA category is to be used, proceed with the application process as outlined in FA 2130.1-2150.2.
4. Contact the applicant's sponsor/resettlement agency to determine the following:
  - a. The amount of financial assistance which may have been provided to the applicant;
  - b. Verify offers of employment and inquire if the applicant has voluntarily quit employment or has refused to accept an offer of employment within 30 consecutive days immediately prior to the date of application.

Resettlement in Arkansas is primarily handled by one voluntary agency. The address is:

United States Catholic Charities  
Mr. Dutch Dortch  
2500 North Tyler Street  
Little Rock, AR 72207  
Telephone 664-0340

6500

#### ELIGIBILITY REQUIREMENTS

Eligibility for Refugee Cash Assistance (RCA) is limited to those who -----

- REPEAL-EO 23-02
1. Are ineligible for cash assistance under the AFDC(SI) programs;
  2. Meet immigration status requirement;
  3. Meet AFDC need standards in FA 2300;
  4. Provide the name of the sponsor/resettlement agency;
  5. Meet Social Security Enumeration;
  6. Meet relationship requirement;
  7. Meet age requirement;
  8. Meet residence requirements;
  9. Are not full-time students in institutions of higher education unless such attendance is part of an individual employability plan;
  10. Meet requirements for Employment Services
  11. Have resided in the United States 8 months or less. The 8 month period begins the month the refugee enters the U.S.

6501

#### IMMIGRATION STATUS

An applicant for assistance must provide proof, in the form of documentation issued by INS, of one of the following statuses, as a condition of eligibility:

1. Paroled as a refugee or asylee under section 212(d)(5); (this does not include paroled immigrants)
2. Admitted as a conditional entrant under section 203(a)(7);
3. Admitted as a refugee under section 207;
4. Granted asylum under section 208;
5. Admitted for permanent residence, provided the individual previously held one of the statuses identified above;

6. A child born to refugee parents, after their entrance into the United States, who were in a status as described above;
7. Amerasians admitted through the Orderly Departure Program as indicated on form I-94 or I-551;
8. Cuban/Haitian Entrants as specified below:
  - a. has an I-94 stamped "Cuban/Haitian Entrant" or "paroled or granted voluntary departure".
  - b. has an I-551 with date of entry identified as date parole status granted or date I-94 was issued.

Restrictions: An applicant for asylum is not eligible for assistance under these guidelines. Public Interest Parolees (PIP) and Humanitarian Parolees are not eligible for assistance under these guidelines. An individual who entered the United States as an Immigrant is not eligible for assistance under these guidelines. A refugee who marries an American citizen permanently loses refugee status.

6502 NEED STANDARDS

All income and resources available to the refugee family group must be considered and measured against the standards for financial need which are applicable to the AFDC program.

NOTE: EXCEPTION

Do not apply the earned income disregard of \$30 plus one-third of the remainder of the earnings or the disregard of \$30.

Do not consider any resources remaining in the applicant's country of origin to be accessible to an applicant or recipient. Do not consider a sponsor's income and resources to be accessible to a refugee solely because the person is serving as a sponsor.

Inkind support and services are not considered in figuring income.

6503 SOCIAL SECURITY ENUMERATION

See FA 2280.

6504 RELATIONSHIP

See FA 2250.

6505 AGE

(See FA 2210-2211). The agency will accept whatever evidence the Immigration and Naturalization Service used when the refugee was admitted into the United States. Dates of birth should be contained in the INS papers the refugee client presents during eligibility determination. When a refugee is married, divorced, etc. in the United States, the appropriate legal documents will be used (See FA 2211).

*Refugee  
Resettlement  
Program*

6506 RESIDENCE

See FA 2230.

6507 EMPLOYMENT SERVICES

Participation in employment services is an eligibility requirement for cash assistance in the RRP category. All RCA applicants and recipients must be referred to the local Employment Security Division office at the time of initial application. Referral for employment services is a mandatory condition of eligibility unless good cause can be established.

Those individuals who are exempt from participation, but wish to volunteer, may do so and shall receive the same services as a mandatory participant.

EXCEPTION: For RCA recipients who live in Sebastian or Crawford Counties written referrals for employment and other services will be made to the RRP services provider located at the Fort Smith Adult Education Center. For RCA recipients who live in Pulaski North/South and Saline Counties written referrals for employment and other services will be made to the RRP Unit located at the Pulaski South DHS office.

NOTE: Inability to communicate in English does not exempt a refugee from a referral for employment services. English-as-a-Second-Language Training is available through both providers.

6507.1 EXEMPTIONS

The agency must consider an applicant for or recipient of RCA to be employable and require him or her to register for employment and follow through with the requirements of ESD or the Services providers unless the applicant or recipient is:

1. Under age 16
2. Under age 18 and a full time student as defined in FA 2273.1#7
3. Ill or injured serious enough to temporarily prevent entry into employment or training. Medical evidence or other sound evidence must be presented. (For example, an applicant with a cast on his leg with a doctor's statement regarding estimated date cast will be removed).
4. Incapacitated by physical or mental impairment, by itself or in conjunction with age, that is determined by a physician or licensed or certified psychologist and verified by the agency to prevent the individual from engaging in employment or training.
5. 65 years of age or older
6. Caring for another member of the household who has a physical or mental impairment which requires, as determined by a physician or licensed or certified psychologist and verified by the agency, care in the home on a substantially continuous basis, and no other appropriate member of the household is available.
7. A parent or other caregiver relative of a child under age six (6) who personally provides full time care of the child with only very brief and infrequent absences from the child.

8. Working at least 30 hours per week in unsubsidized employment expected to last a minimum of 30 days. This exemption continues to apply if there is a temporary break in full time employment expected to last no longer than 10 working days.
9. Medically verified pregnancy in at least the sixth month.

6507.2 VOLUNTARY TERMINATION OF EMPLOYMENT

As a condition of eligibility for RCA, an employable applicant may not, without good cause, within 30 consecutive calendar days immediately prior to the application for assistance, have voluntarily quit employment or have refused to accept an offer of employment.

As a condition of continued receipt of RCA, an employable recipient may not, without good cause, voluntarily quit employment or refuse or fail to follow through with job referrals, interviews, etc., as required by ESD or the RRP Social Services provider.

6507.3 FAILURE/REFUSAL TO PARTICIPATE IN EMPLOYMENT SERVICES

In those counties where RRP services providers are located, the case manager will contact the county office and advise of the participant's refusal to participate without good cause in the employment services or other services such as English as a Second Language Training when such services are part of the employability plan.

Voluntary Participant - When a voluntary participant has failed or refused to participate in employment services as made available through ESD or the Services providers, the information shall be noted in the case record. The individual's cash assistance will not be affected.

Mandatory Participant - When, without good cause, a mandatory participant has failed or refused to meet the requirements of ESD, the Services providers or has voluntarily quit a job, sanctions will occur. (Refer to FA 6508.1).

6507.4 GOOD CAUSE FOR FAILURE TO PARTICIPATE IN EMPLOYMENT SERVICES

Good cause for failure to participate in employment services will be determined to exist if the following criteria are met:

1. The position is vacant due to a strike, lockout, or other bona fide labor dispute; or
2. The client would be required to work for an employer contrary to the conditions of existing union rules governing that occupation. The client may or may not be a member of the union for this to apply.

6508 ADMINISTRATIVE HEARING - REFUSAL TO PARTICIPATE

See Fa 2274.2.

6508.1 SANCTIONS

Once it has been verified that a mandatory participant has refused to participate, without good cause, the Service Representative will apply the sanctions as follows:

1. A 10 day notice will be sent to the client advising that benefits will be reduced or terminated (whichever is appropriate) unless he/she cooperates with employment services. If the client responds, he/she will be re-referred to either ESD or to the local services provider.
2. If the client fails to respond and the sanctioned individual is the only member of the filing unit, the assistance shall be terminated. This sanction shall remain in effect for three (3) payment months for the first such failure and 6 payment months for any subsequent such failure.
3. If the filing unit includes other members, the sanctioned individual's needs will not be included in determining the filing unit's need for assistance.

6509 8 MONTH REQUIREMENT

A refugee may be eligible for RCA during the 8 month period beginning with the first month the refugee entered the United States. For example, a refugee client provides INS documentation showing a date of entry into the United States of October 1991. His first month of RCA eligibility is October 1991 and ends May 31, 1992. This is provided he remains eligible regarding all other eligibility criteria.

6600 DETERMINING RCA GRANT AMOUNT

See FA 2385-2410.

6700 DISPOSITION OF APPLICATION

See FA 2510-2542.

6701 EXTENDED MEDICAL BENEFITS WHEN AN RCA CASE IS CLOSED SOLELY DUE TO EARNINGS FROM EMPLOYMENT

If a refugee client who is receiving RCA becomes ineligible solely by reason of increased earnings from employment, the client's medical assistance eligibility shall be extended. The extension period will begin with the first month following the last month of RCA eligibility and continue until the refugee reaches the end of his or her 8 month time eligibility period.

6701.1 AUTHORIZATION PROCEDURE

When it is determined that the family is ineligible for RCA, but eligible for the extended medical benefits, (RMA) the Service Representative will authorize the extended coverage period by submitting the EMS-56. Transaction type "C" with the appropriate action reason will be entered on the EMS-56. An "N" will be entered in the client notice field so that a system notice will not be sent. An entry will be made in the Medicaid End Date field, showing the last month of medical eligibility. This will apply to any size household as long as all currently eligible household members entered the United States in the same month. If individual household members have different entry dates, the entries must be made in the Medicaid End Date fields on WASM indicating the appropriate end dates for each person.

The Services Representative will manually issue an EMS-1 to the client indicating who in the household will be eligible for the extended coverage and the last month of eligibility.

Example 1: Do Thi Long entered the United States as a refugee in October 1991. He applied and was approved for RCA in November 1991. His 8 month time eligibility period begins October 1, 1991 and ends May 31, 1992. He begins and reports employment in December 1991 with earnings that make him ineligible for continued RCA beginning in January 1992. This is the sole reason for his ineligibility. The extended coverage will be effective January 1, 1992 and run through April 30, 1992. The end of the four months of extended eligibility comes before the end of his 8 month period of time eligibility.

Example 2: Tran Van Son and family entered the United States as refugees in October 1991. They applied and were approved for RCA in October 1991. Their 8 month period of time eligibility begins October 1, 1991 and ends May 31, 1992. Mr. Tran begins and reports employment in March 1992 with earnings that make the family ineligible for continued RCA beginning in April 1992. The extended coverage will begin April 1, 1992 and end May 31, 1992. In this case the family's time eligibility period ends before the entire four months of extended coverage could be granted, therefore only two months of extended coverage were authorized.

Under no circumstances can medical eligibility in an RCA category extend past the end of the 8 month time eligibility period that begins with a refugee's month of entry into the United States.

6800

#### RRP SOCIAL SERVICES

The Refugee Resettlement Program currently funds the provision of social services in the Sebastian/Crawford County area and in the Pulaski County area for refugees who live in those areas.

Social services and targeted assistance services are limited to eligible refugees who have been in the U.S. for 5 years or less. Referral and interpreter services will be provided with no time limits imposed.

The following services are provided to all eligible refugees:

#### Employment Services

This is defined as services which support job placement and/or continuation of employment. Activities may include:

- a. Assessment services from the standpoint of employability and includes identification of familiar or environmental obstacles to employment.
- b. Manpower employment services, which include career counseling, development of an individual employability plan, job orientation, job development, job placement and follow-up. These services are available at both locations.

#### Education/Training

These are defined as services which provide knowledge and skills to prepare the individual to enter the mainstream of society. Services may be provided through classroom instruction, vocational education, or on the job training.

- a. English as a Second Language (ESL) is emphasized, particularly survival English as it relates to obtaining and retaining a job. This service is limited to persons 16 years of age and older and not full time students in elementary or secondary school. The target population is heads of households receiving cash assistance. This is available through both providers.

b. Vocational training, includes driver education and training when provided as part of an individual employability plan. This is available only at the Fort Smith location.

c. Skills recertification, including short term preparation for the General Education Diploma (GED) when the diploma is required by an employer for employment or for advancement or by a State Licensing board for registration for a licensing examination. This is available only at the Fort Smith location.

Clients who reside in the Little Rock area may obtain their GED through the local Adult Education Center.

#### Social Adjustment Services

This is defined as services which provide advice and/or direction to help the refugee become self-sufficient.

Activities may include:

- a. Information and referral such as advice or direction or making arrangements for necessary services.
- b. Home management instructions to individuals or families in home maintenance, nutrition, housing standards, tenant's rights, and other topics of consumer education.
- c. Emergency services as follows: assessment and short term counseling to persons in a perceived crisis, referral to appropriate resources, and the making of arrangements for necessary services.
- d. Services which assist the new arrival to become socially adjusted. The new arrival refers to the refugee who has been in the United States for six months or less. Services are usually more intensive in the areas of social adjustment and health related services. Some transportation services are included when deemed necessary to reach a refugee's goal of self-sufficiency. These services are available at both locations.

#### Health Related Services

These are defined as services to assist individuals and families to attain and maintain a favorable condition of health, secure and utilize necessary medical treatment as well as preventive and health maintenance and includes arranging for emergency medical care. These services are available at both locations.

#### Interpreter Services

This is defined as services which enable the refugee to communicate with others for the purpose of meeting basic needs and are usually provided in conjunction with another service (employment, education/training). This is a supportive service and linked to another service. This service is available in both locations.

**3007.0.0      OPTIONS COUNSELING AND MDS REFERRALS TO THE  
DEPARTMENT OF HUMAN SERVICES (DHS)**

**3007.1.0      Authority**

Options Counseling: Ark. Code Ann. § 20-10-2101 through 2107.

Minimum Data Set Section Q: 42 U.S.C. § 1395i-3 and 42 C.F.R. § 483.20.

**3007.2.0      Purpose:** This rule implements both the long-term care Options Counseling and the Minimum Data Set (MDS) Section Q referral processes that are made to the Department of Human Services (DHS). In both programs, long-term care facilities are required to refer to DHS residents who are interested in other care alternatives. State law requires that referrals be made for Options Counseling by the day after admission. Federal law and regulations require facilities to refer those interested within ten days of completion of the MDS.

**3007.3.0      The Options Counseling Program provides information regarding long-term care options to an individual (or the individual's representative) who:**

- A.    Seeks an Options Counseling consultation
- B.    Seeks admission to a long-term care facility, regardless of payment source
- C.    Resides in a long-term care facility and applies for Medicaid reimbursement

**3007.3.1      For the purposes of Options Counseling, "Long-Term Care Facility" means a nursing facility or a licensed level II assisted living facility. For the purposes of the referral through Section Q, "Long-Term Care Facility" means any nursing facility required by federal law to complete an MDS on residents.**

**3007.3.2      When completing Section Q of the MDS, the long-term care facility shall be required to refer the individual to the "local contact agency" (DHS) if the care plan process determines that it is feasible that the individual may be able to return to the community, or if the individual or representative responds positively to the question, "Do you want to talk with someone about the possibility of returning to the community?"**

**3007.4.0      Long-Term Care Options Counseling Consultation**

**3007.4.1      Regardless whether the individual is referred to DHS through the Options Counseling Program or through the MDS, for administrative ease, the individual will be referred in the same manner and will receive the same type of consultation. For the purposes of this policy, the consultation for both programs will be referred to as Options Counseling.**



3007.4.2 Each long-term care Options Counseling consultation shall include information about:

- A. Factors to consider when arranging for care, including methods for maximizing independence and self-reliance;
- B. Available options;
- C. Costs and potential payment sources;

3007.4.3 Each long-term care Options Counseling consultation may include an assessment of the individual's functional capabilities.

### **3007.5.0 Division of Aging and Adult Services Responsibilities**

3007.5.1 Overall Responsibilities:

The Division of Aging and Adult Services (DAAS) is responsible for providing Options Counseling to residents who indicate interest. The response to a resident may be in the form of mailing community resource information to the resident or it may include a face-to-face consultation with the resident/representative by a DAAS employee in the facility. DAAS employees may include Home and Community-Based Services (HCBS) Nurses, Transition Coordinators and Eligibility Facilitators.

3007.5.2 Assistance to Medicaid Recipients/Applicants

Residents who are on Medicaid or who have applied for Medicaid may receive assistance from DAAS with meeting the resident's transition and community service goals, if the resident is interested in transitioning to a community setting.

3007.5.3 Responsibilities of DAAS Employees:

DAAS employees will have an active presence in facilities throughout Arkansas to help ensure that Medicaid recipients are aware of community options and are able to make informed decisions about how the resident receives long-term services and supports. The DAAS employee will seek to develop a working relationship with members of the facility's staff. As appropriate for the needs of the resident, DAAS employee's duties will include:

- A. Assuring residents have information about community long-term services and supports options;
- B. Screening residents for potential transition;
- C. Requesting and gathering copies of resident information from the facility, such as MDS, care plan, etc., once permission from the resident/authorized representative is secured, in order to fully screen the resident and plan for transition;

- D. Identifying barriers to transition and working with the resident, his/her family, facility staff and others to remove or address the barriers to transition;
- E. Conducting appropriate assessment, care planning and coordinating the authorization of services;
- F. Referring residents to available transition resources;
- G. Facilitating the transition of enrollment to the appropriate waiver with the Division of County Operations (DCO) local office.

### **3007.6.0 Offering Long-Term Care Options Counseling Consultations**

#### **3007.6.1 Long-Term Care Facility Responsibilities**

##### **A. Long-Term Care Facility Admissions**

1. Long-term care facilities must inform new admissions of the opportunity for a long-term care Options Counseling consultation at admission regardless of the individual's payment source.
2. When admitting a resident, the long-term care facility must:

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- a. Complete and obtain the signature of each resident or the resident's representative on a separate Form DHS-9571;
- b. Transmit the form to the Arkansas Department of Human Services (DHS) via online submission at <https://dhs.arkansas.gov/daas/NursingHome/> no later than 5:00 p.m. of the next business day following the admission. Due to the one-day timeline for submission that is required by law, if the facility is having connectivity problems, it may fax the form to the Office of Long Term Care in order to meet the timeline; but once connectivity returns, the facility must follow-up and enter the information that had previously been faxed, via the website;

**Note:** There are two methods for obtaining a signed DHS-9571. The long-term care facility may complete the form manually, obtain the signature of the individual or representative, and then key the information into the website; or, key the information into the website, print the completed form from the website, and then obtain the signature of the individual or representative.

- c. Maintain the original DHS-9571 in the resident's file at the long-term care facility until completion of the next standard survey or for 18 months, whichever is longer; and
- d. Make these records available for audit purposes as requested by DHS, its representatives, or designees.

B. Previously Admitted Long-Term Care Facility Residents Who Apply For Long-Term Care Medicaid

Each long-term care facility must:

1. Offer the opportunity for an Options Counseling consultation to previously admitted residents who apply for long-term care Medicaid reimbursement;
2. Offer the opportunity for an Options Counseling consultation to each resident before the Medicaid application is filed if possible; and
3. Transmit the form to DHS via online submission at <https://dhs.arkansas.gov/daas/NursingHome/> no later than 5:00 p.m. of the next business day following the offer;
4. When a person or the person's representative declines an offer for an Options Counseling consultation, the long-term care facility must complete Form DHS-9571 documenting that the individual refused an Options Counseling consultation.
5. Maintain the original DHS-9571 in the resident's patient file at the long-term care facility until completion of the next standard survey (for nursing homes) or licensure survey (for Level II Assisted Living Facilities), or for 18 months, whichever is longer; and

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6. Make these records available for audit purposes as requested by DHS, its representatives, or designees.

C. For Long-Term Care Facilities completing an MDS either at admission or at reassessment, the facility shall:

1. Complete section Q of the MDS. The long-term care facility shall be required to refer the individual to the "local contact agency" (DHS) if the care plan process determines that it is feasible that the individual may be able to return to the community, or if the individual or representative responds positively to the question, "Do you want to talk with someone about the possibility of returning to the community?";
2. If a referral is appropriate, the long-term care facility will transmit the information on the individual via the same online submission as Options Counseling at <https://dhs.arkansas.gov/daas/NursingHome/> no later than 10 days from the time the MDS is completed;

3005.6.2 DHS, Division of County Operations, (DCO), Responsibilities.

DCO will offer information on Options Counseling to each long-term care Medicaid applicant.

**3007.7.0 OLTC shall:**

3007.7.1 Deliver to Division of Aging and Adult Services (DAAS) all DHS-9571 forms received from long-term care facilities.

3007.7.2 After the first three failures of a long-term care facility to complete the form required under § 20-10-2106 in any calendar year, the Department of Human Services, through the Office of Long Term Care, shall assess a fee against the long-term care facility of twenty-five dollars for each failure beyond three, with an annual maximum fee of one thousand two hundred dollars (\$1,200).

A. OLTC shall provide written notice to long-term care facilities that a fee is imposed.

B. Notice shall:

1. State or list the specific failures leading to the imposition of the fine, including the dates on or about which the failure occurred, the names of residents for whom the failure occurred, and the amount of the fine imposed; and,
2. Set forth the long-term care facility's appeal rights.

3007.7.3 While state level penalties are not applicable to a failure to refer under MDS Section C, federal deficiencies and penalties may be applicable.

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**3007.8.0 Appeal**

- A. A long-term care facility may appeal a fee by sending a written request for a hearing to the Director of the Department of Human Services ("Director")
- B. The Director must receive the appeal within sixty calendar days after OLTC mails the notice of fee to the long-term care facility by regular mail to the most recent address provided by the facility in facility license records.
- C. The Director shall assign the appeal to a fair and impartial hearing officer who shall not be a full-time DHS employee. The hearing officer shall preside over the hearing and make findings of fact and conclusions of law in the form of a recommendation to the Director.
- D. DHS shall commence each hearing within forty-five days of receipt of a timely request for hearing. The hearing officer shall notify the OLTC Director of the date, time, and place of the hearing. Such notification shall be in writing sent by regular mail to the appealing long-term care facility at least twenty days before the hearing date.
- E. The appealing facility may agree in writing to resolve the appeal without a hearing.

- F. If the facility waives the time limit under subdivision (D) of this section, the hearing officer shall begin the hearing at a time agreed to by the parties.
- G. Hearing Officers shall conduct the appeal hearing in accordance with the Administrative Procedure Act and DHS Policy 1098.
- H. Upon written request of a facility, OLTC shall provide copies of all documents, papers, reports, and other information that relate to the appeal. OLTC must make such disclosure within ten working days of receipt of the written request unless the hearing officer specifies a different date.
- I. Upon failure of a person without lawful excuse to obey a subpoena or to give testimony, the aggrieved party may apply to the circuit court in the county where the hearing will be held for a court order compelling compliance.

### **3007.9.0 Appeal Decision**

- A. The Hearing Officer shall issue a recommended decision within 10 working days after the close of the hearing, the receipt of the transcript, or the submission of post-trial briefs requested or approved by the hearing officer, whichever is latest.
- B. The Director shall review each recommendation. He or she may:
 

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  - 1. Approve the recommendation, or
  - 2. Modify the recommendation in whole or in part; or
  - 3. Remand the appeal to the hearing officer for further proceedings. On remand the hearing officer shall conduct further proceedings as set forth in the Notice of Remand and shall submit a new recommended decision to the Director.
- C. If the Director modifies a recommendation, in whole or in part, or remands the decision, the Director shall state in writing the reasons for the remand or modification, including statutory, regulatory, factual, or other grounds.
- D. If the Director takes no action on the hearing officer's recommendation within 60 calendar days of receiving the recommendation, the recommendation shall be the final agency disposition as defined at Ark. Code Ann. § 25-15-202(5).
- E. The Director's modification or approval of a hearing officer's recommendation is the final agency disposition as defined at Ark. Code Ann. § 25-15-202(5).

**3007.10.0 Payment of Fees**

- A. Unless the Director denies a stay, a written request for a hearing shall stay any fee pending the hearing and the final decision of the Director of the Department of Human Services.
- B. Long-term care facilities must pay fees to OLTC within thirty working days of receipt of the notice of fee, or if stayed pending appeal, within thirty working days of receipt of the final agency disposition unless the disposition has been timely appealed to circuit court.

**3007.11.0 Originating Section/Department Contact:**

DHS has designated the following entity as the Local Contact Agency:

Aging and Disability Resource Center  
700 Donaghey Plaza South  
P. O. Box 1437, Slot S-530  
Little Rock, AR 72203-1437  
Contact: 501-682-8509

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