

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
A-1	DAAS	Obtain active provider breakdown by site	State identifies HCBS service provider listings by site to include contact information and service by site using category of service	05/01/14	05/30/14	<input checked="" type="checkbox"/>	Division of Aging and Adult Services (DAAS) database	DAAS	Consolidated verified HCBS provider list
A-2	DAAS	Development of provider assessment tools (Assisted Living, Adult Day and Other Settings)	State develops/selects self-assessment tool	06/01/14	06/15/14	<input checked="" type="checkbox"/>	CMS guidance, other state developed assessment tools	DAAS, DMS	Assessment tool ready for submission to HCBS providers.
A-3	DAAS	Other standards identification (for services in the residential setting – excludes Assisted Living)	Identify and assemble with stakeholder input a comprehensive set of provider standards (licensing, policies, etc.) to be reviewed and validated to conform to HCBS rules.	01/01/15	01/01/16	<input checked="" type="checkbox"/>	Key stakeholder input, existing provider standards in policies and regulations	DAAS PPD, DAAS Provider Enrollment, DMS PPD, Adult Day Care Providers, HCBS Stakeholders (Health Care Payment Improvement Initiative)	Provider standards for enrollment and continued participation
A-4	DAAS	Other standards identification of Assisted Living	Identify a comprehensive set of provider standards (licensing, policies, etc.) to be reviewed and validated to conform to HCBS rules.	05/01/15	12/29/15	<input type="checkbox"/>	Key stakeholder input, existing provider standards in policies and regulations	DAAS PPD, DAAS Provider Enrollment, DMS PPD, AHCA, Arkansas Residential Assisted Living	Provider standards for enrollment and continued participation

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
								Association (ARALA)	
A-5	DAAS	Other standards identification of Assisted Living	Assemble with stakeholder input a comprehensive set of provider standards (licensing, policies, etc.) to be reviewed and validated to conform to HCBS rules.	05/01/15	04/01/16	<input type="checkbox"/>	Key stakeholder input, existing provider standards in policies and regulations	DAAS PPD, DAAS Provider Enrollment, DMS PPD, AHCA, Arkansas Residential Assisted Living Association (ARALA)	Provider standards for enrollment and continued participation
A-6	DAAS	Draft policy to Incorporate Assessment tool into Provider enrollment policy and application	State incorporates self-assessment requirement into provider enrollment materials and policy	02/01/15	04/01/16	<input type="checkbox"/>	HCBS Guidance, Facility regulations, provider manuals	DAAS PPD, DAAS Provider Enrollment, DMS PPD	Compliance expectations clearly outlined in provider manual
A-7	DAAS	Draft policy to Incorporate Assessment tool into Assisted Living Provider enrollment policy and application	State incorporates self-assessment requirement into provider enrollment materials and policy	07/01/15	04/01/16	<input type="checkbox"/>	HCBS Guidance, Facility regulations, provider manuals	DAAS PPD, DAAS Provider Enrollment, DMS PPD	Compliance expectations clearly outlined in provider manual
A-8	DAAS	Promulgate amended provider manual	Publish changes for public comment, incorporate comments, receive approval through legislative review,	01/01/16	04/01/16	<input type="checkbox"/>	Provider manuals	DAAS PPD, DAAS Provider Enrollment, DMS PPD	Criteria implemented

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
			implement change						
A-9	DAAS	Promulgation of amended provider manual (Assisted Living)	Publish changes for public comment, incorporate comments, receive approval through legislative review, implement change	09/01/15	04/01/16	<input type="checkbox"/>	Provider manuals	DAAS PPD, DAAS Provider Enrollment, DMS PPD	Criteria implemented
D-1	DDS	Develop revised HCBS Standards and DDS Policy 1091	Review and revise Standards and DDS 1091 by DDS staff, Providers, Key stakeholders and Provider Organizations	09/01/14	07/01/15	<input checked="" type="checkbox"/>	2007 DDS Standards, DDS Policy 1091, CMS Final Rule, DDS staff, Providers, Key Stakeholders and Provider Organizations	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Revised Standards and DDS 1091
D-2	DDS	Promulgation of Standards and DDS Policy 1091	Submit and receive Executive branch approval.	01/01/16	02/01/16	<input type="checkbox"/>	DDS HCBS Standards and DDS 1091	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated Standards and DDS 1091
D-3	DDS	Promulgation of Standards and DDS Policy 1091	Publish document for informal public comment, incorporate comments	02/01/16	03/01/16	<input type="checkbox"/>	DDS HCBS Standards and DDS 1091	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated Standards and DDS 1091
D-4	DDS	Promulgation of	Publish document for formal	02/01/16	04/01/16	<input type="checkbox"/>	DDS HCBS	DDS staff,	Promulgated

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
		Standards and DDS Policy 1091	public comment (reinitiated), incorporate comments				Standards and DDS 1091	Providers, Provider Organizations and DDS Quality Assurance Committee	Standards and DDS 1091
D-5	DDS	Promulgation of Standards and DDS Policy 1091	Receive approval through legislative review; Final approval	04/01/16	05/01/16	<input type="checkbox"/>	DDS HCBS Standards and DDS 1091	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated Standards and DDS 1091
D-6	DDS	Review and revise HCBS Medicaid Manual	Review and revise Manual to align with DDS HCBS Waiver Document	09/01/14	07/01/15	<input checked="" type="checkbox"/>	CMS Final Rule, DDS staff, Providers, Key Stakeholders and Provider Organizations	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Revised HCBS Medicaid Manual
D-7	DDS	Promulgate Manual	Submit and receive Executive branch approval.	01/01/16	02/01/16	<input type="checkbox"/>	HCBS Medicaid Manual	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated Manual
D-8	DDS	Promulgation of Manual	Publish document for informal public comment (reinitiated), incorporate	02/01/16	03/01/16	<input type="checkbox"/>	HCBS Medicaid Manual	DDS staff, Providers, Provider	Promulgated Manual

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
			comments,					Organizations and DDS Quality Assurance Committee	
D-9	DDS	Promulgation of Manual	Publish document for formal public comment (reinitiated), incorporate comments	02/01/16	04/01/16	<input type="checkbox"/>	HCBS Medicaid Manual	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated Manual
D-10	DDS	Promulgation of Manual	Receive approval through legislative review and Final approval	04/01/16	05/01/16	<input type="checkbox"/>	HCBS Medicaid Manual	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated Manual
D-11	DDS	Develop revised DDS Policy 1090	Review and revise DDS 1090 by DDS staff, Providers, Key stakeholders and Provider Organizations	09/01/15	05/01/16	<input type="checkbox"/>	2007 DDS Standards, DDS Policy 1090, CMS Final Rule, DDS staff, Providers, Key Stakeholders and Provider Organizations	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Revised DDS 1090
D-12	DDS	Promulgation of DDS Policy 1090	Submit and receive Executive Branch approval	04/01/16	05/01/16	<input type="checkbox"/>	DDS 1090	DDS staff, Providers, Provider Organizations	Promulgated DDS 1090

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
								and DDS Quality Assurance Committee	
D-13	DDS	Promulgation of DDS Policy 1090	Publish document for informal public comment, incorporate comments,	05/01/16	06/01/16	<input type="checkbox"/>	DDS 1090	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated DDS 1090
D-14	DDS	Promulgation of DDS Policy 1090	Publish document for formal public comment (reinitiated), incorporate comments	10/22/16	12/22/16	<input type="checkbox"/>	DDS 1090	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated DDS 1090
D-15	DDS	Promulgation of DDS Policy 1090	Receive approval through legislative review and Final approval	11/10/16	02/01/17	<input type="checkbox"/>	DDS HCBS DDS 1090	DDS staff, Providers, Provider Organizations and DDS Quality Assurance Committee	Promulgated DDS 1090
D-16	DDS	Identify Provider owned, operated or controlled apartments, homes and	State identifies HCBS Provider owned, operated or controlled apartments, homes and Group Home service sites	04/01/14	05/01/14	<input checked="" type="checkbox"/>	DDS database and Provider queries	DDS Providers	Verified list of sites

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 1 Identification									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
		Group Home sites							
D-17	DDS	Develop Provider self-study for Provider owned, operated or controlled apartments, homes & Group Homes (A,H&GH)	State develops self-study	04/01/14	05/01/14	<input checked="" type="checkbox"/>	CMS Tool Kit and DDS Staff	DDS staff and DDS Providers	Self-study
D-18	DDS	Develop Providers self-study for Staff Homes	State develops self-study	06/01/15	07/01/15	<input type="checkbox"/>	CMS Tool Kit and DDS Staff	DDS and DDS Providers	Self-study
D-19	DDS	Develop Provider self-study for Day Settings	State develops self-study	12/01/16	01/01/17	<input type="checkbox"/>	CMS Tool Kit and DDS Staff	DDS Providers and DDS Staff	Self-study

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
A-10	DAAS	Identified HCBS providers complete self-study	Enrolled and active Residential Assisted Living providers complete self-study	07/11/14	02/28/15	<input checked="" type="checkbox"/>	Assessment Tool, HCBS provider staff	DAAS Provider Enrollment, AHCA, HCBS providers	100% of HCBS Residential Assisted Living providers complete assessment tool
A-11	DAAS	Identified HCBS providers complete self-study	Enrolled and active Day Service Center providers complete self-study	03/01/15	05/31/15	<input checked="" type="checkbox"/>	Assessment Tool, HCBS provider staff	DAAS Provider Enrollment, AHCA, HCBS providers	100% of HCBS Day Service providers complete assessment tool
A-12	DAAS	Other standards Assessment	Assess what changes are required to update provider qualification standards, licensure regulations, enrollment education and provider training, and other related policies, etc. to conform to HCBS rules	10/01/15	06/30/16	<input type="checkbox"/>	Key stakeholder input, provider standards	DAAS PPD, DAAS Provider Enrollment, AHCA, Arkansas Residential Assisted Living Association (ARALA), Adult Day Care Providers, Long Term Care Advisory Group, HCBS Stakeholders (Health Care Payment Improvement Initiative)	Updated provider standards for enrollment and continued participation
A-13	DAAS	Complete	Follow-up assessment by	02/01/15	03/15/15	<input checked="" type="checkbox"/>	Assessment	DAAS, AHCA,	Identify those

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
		follow-up assessment by telephone	telephone and in writing with Residential Assisted Living administrators to get complete picture for those that are questionable from the self-assessment				responses	Facility Administrators	that were questionable from the self-assessment are in compliance and those not
A-14	DAAS	Complete follow-up assessment by telephone	Follow-up assessment by telephone with Day Program administrators to get complete picture for those that are questionable from the self-assessment	01/01/16	02/29/16	<input type="checkbox"/>	Assessment responses	DAAS, AHCA, Facility Administrators	Identify those that were questionable from the self-assessment are in compliance and those not
A-15	DAAS	Self-study data is compiled and analyzed	Self-study responses for Residential Assisted Living settings are analyzed to identify facilities that meet the requirement, those with issues that need further investigation and those that are questionable.	10/01/15	11/30/15	<input checked="" type="checkbox"/>	Self-study responses	DAAS, AHCA, Arkansas Residential Assisted Living Association (ARALA), Adult Day Care Providers, Long Term Care Advisory Group, HCBS Stakeholders (Health Care Payment Improvement Initiative)	Identify those in compliance and those needing follow-up
A-16	DAAS	Self-study data	Self-study responses for Day	03/01/16	04/30/16	<input type="checkbox"/>	Self-study	DAAS, AHCA,	Identify those in

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
		is compiled and analyzed	Service Center settings are analyzed to identify facilities that meet the requirement, those with issues that need further investigation and those that are questionable.				responses	Arkansas Residential Assisted Living Association (ARALA), Adult Day Care Providers, Long Term Care Advisory Group, HCBS Stakeholders (Health Care Payment Improvement Initiative)	compliance and those needing follow-up
A-17	DAAS	Self-study Results and Report Presentation	State will produce a report of Residential Assisted Living settings and present findings and post on relevant websites	11/01/15	12/31/15	<input type="checkbox"/>	Self-study and follow-up assessment tools, analysis of data	DAAS, DMS, AHCA, Arkansas Residential Assisted Living Association (ARALA), Adult Day Care Providers, Long Term Care Advisory Group, HCBS Stakeholders (Health Care Payment)	Public distribution and awareness of HCBS setting compliance to include transparent compliance status of providers

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

<b>Section 2 Assessment</b>									
<i><b>Action Number</b></i>	<i><b>Division</b></i>	<i><b>Action Item</b></i>	<i><b>Description</b></i>	<i><b>Proposed Start Date</b></i>	<i><b>Proposed End Date</b></i>	<i><b>Completed</b></i>	<i><b>Sources</b></i>	<i><b>Key Stakeholders</b></i>	<i><b>Intervention/ Outcome</b></i>
A-18		Self-study Results and Report Presentation	State will produce a report for Day Service Center settings and present findings and post on relevant websites	04/01/16	04/30/16	<input type="checkbox"/>	Self-study and follow-up assessment tools, analysis of data	DAAS, DMS, AHCA, Arkansas Residential Assisted Living Association (ARALA), Adult Day Care Providers, Long Term Care Advisory Group, HCBS Stakeholders (Health Care Payment)	Public distribution and awareness of HCBS setting compliance to include transparent compliance status of providers
A-19	DAAS	Conduct On-site visits to DAAS affected providers	On-site observations and interviews with persons who reside in or receive care from Residential Assisted Living settings providers	01/01/16	06/30/16	<input type="checkbox"/>	DAAS providers who completed the study	DAAS Providers who completed the study and DAAS Staff	Compliance report
A-20	DAAS	Conduct On-site visits to DAAS affected providers	On-site observations and interviews with persons who receive care from Day Service Center settings providers	05/01/16	09/30/16	<input type="checkbox"/>	DAAS providers who completed the study	DAAS Providers who completed the study and DAAS Staff	Compliance report
A-21	DAAS	Issue Compliance Report	Report to each Organization that owns, operates or controls a Residential Assisted Living setting facility of characteristics regarding compliance with Final Rule	07/01/16	08/31/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed the study and DAAS Staff	Provider response to report

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
A-22	DAAS	Issue Compliance Report	Report to each Organization that owns, operates or controls a Day Service Center setting facility of characteristics regarding compliance with Final Rule	09/01/16	09/30/16	<input type="checkbox"/>	Affected DAAS providers	DAAS providers who completed the study and DAAS Staff	Provider response to report
A-23	DAAS	Report Response	Residential Assisted Living setting organizations submits a plan of correction and policies	09/01/16	10/31/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed the study and DAAS Staff	Approval letters
A-24	DAAS	Report Response	Day Service Center setting organizations submits a plan of correction and policies	10/01/16	11/30/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed the study and DAAS Staff	Approval letters
A-25	DAAS	Issuance of Approval	Letter of approval for each Residential Assisted Living settings provider in compliance with promulgated Standards	10/01/16	10/31/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed the study and DAAS Staff	Continued HCBS funding
A-26	DAAS	Issuance of Non-Approval	Letter of non-approval for each Residential Assisted Living settings provider not in compliance with promulgated Standards	10/01/16	10/31/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed the study and DAAS Staff	Continued HCBS funding
A-27	DAAS	Issuance of Approval	Letter of approval for each Day Service Center settings provider in compliance with promulgated Standards	11/01/16	11/30/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed the study and DAAS Staff	Continued HCBS funding
A-28	DAAS	Issuance of Non-Approval	Letter of non-approval for each Day Service Center	11/01/16	11/30/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers who completed	Continued HCBS funding

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
			settings provider not in compliance with promulgated Standards					the study and DAAS Staff	
A-29	DAAS	Heightened Scrutiny (Assisted Living, Adult Day and other Settings)	In collaboration with affected providers, submit requests to CMS for heightened scrutiny of settings with characteristics of an institution.	12/01/16	12/31/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers and DAAS Staff	Continued HCBS funding
A-30	DAAS	Heightened Scrutiny (Assisted Living, Adult Day and other Settings)	Publish list of Providers under heightened scrutiny	12/01/16	12/31/16	<input type="checkbox"/>	Affected DAAS providers	DAAS Providers and DAAS Staff	Continued HCBS funding
D-20	DDS	A,H&GH: Distributed Self-Study	Self-study tool based on "Exploratory Questions..." document included in CMS toolkit	04/08/14	04/13/14	<input checked="" type="checkbox"/>	DDS Database	DDS Providers who completed the study	Provider Awareness of how their practice aligns with Final Rule
D-21	DDS	A,H&GH: Ensure 100% return	Follow-up with Providers to ensure 100% submission of Self-study	04/08/14	05/28/14	<input checked="" type="checkbox"/>	DDS Database	DDS Providers who complete the study	Provider Awareness of how their practice aligns with Final Rule
D-22	DDS	A,H&GH: Conduct On-site visits	On-site observations & interviews with persons who reside in apartments, homes & Group Homes owned, operated or controlled by Provider	07/08/14	09/29/14	<input checked="" type="checkbox"/>	DDS Providers who completed the study	DDS Providers who completed the study and DDS Staff	Compliance Report

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
D-23	DDS	A,H&GH: Issue Compliance Report and Request Policies	DDS issued initial feedback regarding compliance with Final Rule to each Provider; DDS requested policy regarding compliance with Final Rule	08/27/14	Ongoing	<input type="checkbox"/>	DDS Providers	DDS Providers who own, operate or control apartments, homes or Group Homes & DDS Staff	Provider response to Report and Plan of Correction if Applicable
D-24	DDS	A,H&GH: Report Response and Policies	Providers submitted a plan of correction and policies	10/11/14	04/1/15	<input checked="" type="checkbox"/>	DDS Providers	DDS Providers who own, operate or control apartments, homes or Group Homes and DDS Staff	Provider feedback regarding policies
D-25	DDS	A,H&GH: Follow up visit	DDS will conduct a compliance review with Final Rule of a sampling of apartments, homes and Group Homes	07/1/15	09/30/15	<input checked="" type="checkbox"/>	DDS Providers	DDS Providers who own, operate or control apartments, homes or Group Homes and DDS Staff	Letter of standing
D-26	DDS	A,H&GH: Issuance of letter of standing	DDS response letter of standing related to the Final Rule. Based upon submission of documentation and observation	02/16/16	03/16/16	<input type="checkbox"/>	DDS Providers	DDS Providers who own, operate or control apartments, homes or Group	Continued HCBS funding

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
								Homes and DDS Staff	
D-27	DDS	A,H&GH: Heightened Scrutiny	In collaboration with identified Providers, submit requests to CMS for heightened scrutiny of settings	07/01/15	09/01/16	<input type="checkbox"/>	DDS Providers	DDS Providers and DDS Staff	Continued HCBS funding
D-28	DDS	A,H&GH: Heightened Scrutiny	Publish list of Providers under Heightened Scrutiny	01/01/16	06/30/16	<input type="checkbox"/>	DDS Providers	DDS Providers and DDS Staff	Continued HCBS funding
D-29	DDS	Staff Homes: Distribute Self-Study	Self-study tool based on "Exploratory Questions..." document included in CMS toolkit	07/01/15	07/06/15	<input checked="" type="checkbox"/>	DDS Database	DDS Providers who complete the study	Provider awareness of how their practice aligns with Final Rule
D-30	DDS	Staff Homes: Request Policies that reflect compliance with Final Rule	As part of cover letter for Self-Study	07/01/15	07/06/15	<input checked="" type="checkbox"/>	DDS Database	DDS Providers who complete the study	Acceptable Policies
D-31	DDS	Staff Homes: Ensure 100% return of Self Studies	Follow-up with Providers to ensure 100% submission of Self-study	07/05/15	07/31/15	<input checked="" type="checkbox"/>	DDS Database	DDS Providers who complete the study	Provider Awareness of how their practice aligns with Final Rule
D-32	DDS	Staff Homes: Ensure 100% return of Policies	Follow-up with Providers to ensure 100% submission of Policies	07/05/15	09/01/15	<input checked="" type="checkbox"/>	Provider returned Policies	DDS Providers who complete the study	Acceptable Policies
D-33	DDS	Staff Homes:	DDS reviews Provider policies	07/06/15	09/15/15	<input checked="" type="checkbox"/>	Provider	DDS Providers	DDS Letter of

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
		Review and Approve Policies					returned Policies	and DDS Staff	standing
D-34	DDS	Staff Homes: Review Policies	DDS issues letters or provides feedback and requests revised policies as needed	10/28/15	11/30/15	<input type="checkbox"/>	DDS Providers	DDS Providers and DDS Staff	Continued funding for HCBS Services or DDS offers choice of new living arrangement as appropriate
D-35	DDS	Staff Homes: Conduct On-site visits	On-site observations and interviews with persons who reside in staff homes	01/01/16	07/01/16	<input type="checkbox"/>	DDS Providers who complete the study	DDS Providers who completed the study and DDS Staff	Compliance Report and plan of correction if applicable
D-36	DDS	Staff Homes: Issue Letter of standing	DDS response letter of standing related to the Final Rule. Based upon submission of documentation and observation	07/01/16	08/01/16	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	Provider response to Report
D-37	DDS	Staff Homes: Report Response	Providers submit a plan of correction	08/01/16	11/01/16	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	DDS Letter of standing
D-38	DDS	Staff Homes: Follow up visit	DDS conducts review of Providers required to submit Plans of Correction	11/01/16	02/01/17	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	DDS Letter of standing
D-39	DDS	Day Settings: Distribute Self-Study	Self-study tool based on "Exploratory Questions..." document included in CMS	07/01/17	07/06/17	<input type="checkbox"/>	DDS Database	DDS Providers who complete the study	Provider awareness of how their

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
			toolkit						practice aligns with Final Rule
D-40	DDS	Day Settings: Request Policies that reflect compliance with Final Rule	As part of cover letter for Self-Study	07/01/17	07/06/17	<input type="checkbox"/>	DDS Database	DDS Providers who complete the study	Acceptable Polices
D-41	DDS	Day Settings: Ensure 100% return of Self Study	Follow-up with Providers to ensure 100% submission of Self-study	07/05/17	07/31/17	<input type="checkbox"/>	DDS Database	DDS Providers who complete the study	Providers awareness of how their practice aligns with Final Rule
D-42	DDS	Day Settings: Ensure 100% return of Policies	Follow-up with Providers to ensure 100% submission of Policies	07/06/17	07/01/18	<input type="checkbox"/>	Provider returned Policies	DDS Providers who complete the study	Acceptable Policies
D-43	DDS	Day Settings: Review and Approve Policies	DDS reviews Provider Policies	07/06/17	09/15/17	<input type="checkbox"/>	Provider returned Policies	Providers and DDS Staff	DDS Letter of Approval
D-44	DDS	Day Settings: Review Policies	DDS issues letter of standing or provides feedback and requests revised policies as needed	10/01/17	11/30/17	<input type="checkbox"/>	DDS Providers	Providers and DDS Staff	DDS offers choice of new day setting as appropriate
D-45	DDS	Day Settings: Conduct On-site visits	On-site visits to HCBS day settings service providers	07/01/17	07/01/18	<input type="checkbox"/>	DDS Providers who complete the study	DDS Providers who completed the study and DDS Staff	Compliance report and plan of correction if applicable
D-46	DDS	Day Settings: Issue Report	Report to each Provider that owns, operates or controls HCBS day settings regarding	08/01/17	08/01/18	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and	Providers response to Report

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

Section 2 Assessment									
Action Number	Division	Action Item	Description	Proposed Start Date	Proposed End Date	Completed	Sources	Key Stakeholders	Intervention/ Outcome
			Final Rule					DDS Staff	
D-47	DDS	Day Settings: Report Response	Providers submit a plan of correction	09/01/17	09/01/18	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	DDS Letter of standing
D-48	DDS	Day Settings: Follow up visit	DDS Conducts a review of providers required to submit a plan of correction	10/01/17	10/01/18	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	DDS Letter of standing
D-49	DDS	Day Settings: Issuance of standing	Letter of standing for each Provider	10/01/17	10/01/18	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	Continued HCBS funding
D-50	DDS	Day Settings: Heightened Scrutiny	In collaboration with identified Providers, submit requests to CMS for heightened scrutiny of settings	07/01/17	07/01/18	<input type="checkbox"/>	DDS Providers	DDS Providers who completed the study and DDS Staff	Continued HCBS funding
D-51	DDS	Transition Results and Report Presentation	DDS produces report by provider type and posts on relevant websites	09/01/18	12/30/18	<input type="checkbox"/>	On-site visits, Compliance Reports, Provider Response and Policies	DDS staff, Providers, Provider Organizations, Advocacy Groups and DDS Quality Assurance Committee	Public awareness of HCBS setting compliance

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

<b>Section 3 Remediation</b>									
<i>Action Number</i>	<i>Division</i>	<i>Action Item</i>	<i>Description</i>	<i>Proposed Start Date</i>	<i>Proposed End Date</i>	<i>Completed</i>	<i>Sources</i>	<i>Key Stakeholders</i>	<i>Intervention/ Outcome</i>
A-31	DAAS	Comprehensive Transition Plan	Develop a Transition Plan package that summarizes the state of the state at the end of the initial assessment period and establishes a plan for comprehensively addressing all components of compliance with HCBS rules	12/31/16	12/31/17	<input type="checkbox"/>	Assessment results, key stakeholder input	DAAS, DMS, Advocacy groups	Fully developed transition plan
A-32	DAAS	Policy Development	Develop revised policies and procedures for provider manuals to address ongoing monitoring and compliance	09/30/16	12/31/16	<input type="checkbox"/>	DAAS, DMS, Office of Policy and Legal Services	Medicaid recipients, provider network, advocacy groups	Establish adverse action and appeals processes applicable to providers who fail to comply with HCBS rules
A-33	DAAS	Provider Training and Education	Design and implement plan for incorporating necessary training and education into provider enrollment orientation and provider employee training	01/01/16	06/30/17	<input type="checkbox"/>	Key stakeholder input, provider standards	DAAS, DMS, Provider enrollment, HCBS staff, provider network, advocates	Educate providers on new rules
A-34	DAAS	Provider Training and Education (Assisted Living)	Design and implement plan for incorporating necessary training and education into provider enrollment orientation and provider employee training	02/01/16	07/31/17	<input type="checkbox"/>	Key stakeholder input, provider standards	DAAS, DMS, Provider enrollment, HCBS staff, provider network, advocates	Educate providers on new rules

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

<b>Section 3 Remediation</b>									
<i>Action Number</i>	<i>Division</i>	<i>Action Item</i>	<i>Description</i>	<i>Proposed Start Date</i>	<i>Proposed End Date</i>	<i>Completed</i>	<i>Sources</i>	<i>Key Stakeholders</i>	<i>Intervention/ Outcome</i>
A-35	DAAS	Ongoing Monitoring of compliance	State will incorporate HCBS requirements into policy for ongoing monitoring, training required for auditors and monitors, training process for handling concerns and other issues of noncompliance	10/01/15	Ongoing	<input type="checkbox"/>	Provider Manuals	Medicaid members, advocates, providers, DAAS Quality Assurance, DAAS	Ongoing provider compliance audits in compliance with new HCBS rules
D-52	DDS	Comprehensive Transition Plan	Develop plan in compliance with Federal Regulations	02/01/15	6/30/18	<input type="checkbox"/>	Federal Compliance Guidelines	DDS, DAAS, DMS, Providers and Public	Transition Plan
D- 53	DDS	Provider Training and Education	Design and implement plan for incorporating topics into provider training & education	09/01/15	Ongoing	<input type="checkbox"/>	Provider Conferences & Small groups	DDS & Providers	Trained & Educated Providers
D- 54	DDS	Ongoing Monitoring of compliance	DDS conducts annual and incident-specific on-site reviews of providers that serve people with developmental disabilities	07/08/14	Ongoing	<input type="checkbox"/>	Standards and Policies 1090 & 1091	DDS & Providers	Continued HCBS funding for compliant Providers

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

<b>Section 4 Outreach &amp; Engagement</b>									
<i><b>Action Number</b></i>	<i><b>Division</b></i>	<i><b>Action Item</b></i>	<i><b>Description</b></i>	<i><b>Proposed Start Date</b></i>	<i><b>Proposed End Date</b></i>	<i><b>Completed</b></i>	<i><b>Sources</b></i>	<i><b>Key Stakeholders</b></i>	<i><b>Intervention/ Outcome</b></i>
AD-1	DAAS DDS DMS	Public Notice – Draft Transition Plan	DMS makes public notice through multiple venues to share transition plan and proposed method of assessment per HCBS guidance including messaging and website posting	01/15/15	03/17/15	☒	CMS HCBS Guidance, Key stakeholder input, existing provider standards in policies and regulations	DAAS, DDS, DMS, Provider enrollment, provider network, advocates	Public notice with transition plan
AD-2	DAAS DDS DMS	Public Comment – Initial Transition Plan	DMS, DDS and DAAS commence collection of public comment through multiple methods	01/15/15	03/17/15	☒	Comments from the public	DAAS, DDS, DMS, Provider enrollment, provider network, advocates	Public Notice posted with transition plan
AD-3	DAAS DDS DMS	Public Comment – Collection and Plan revisions	DMS/DAAS/DDS incorporates appropriate changes to the initial transition plan based on public comments	02/15/15	03/17/15	☒	Comments from the public	DAAS, DDS, DMS, Provider enrollment, provider network, advocates	Completed transition plan
AD-4	DAAS DDS DMS	Public Comment – Retention	DMS will store public comments and state responses for CMS and the general public	01/15/15	03/17/15	☒	Comments from the public	DAAS, DDS, DMS, Provider enrollment, provider network, advocates	Public comments stored

## Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

<b>Section 4 Outreach &amp; Engagement</b>									
<i><b>Action Number</b></i>	<i><b>Division</b></i>	<i><b>Action Item</b></i>	<i><b>Description</b></i>	<i><b>Proposed Start Date</b></i>	<i><b>Proposed End Date</b></i>	<i><b>Completed</b></i>	<i><b>Sources</b></i>	<i><b>Key Stakeholders</b></i>	<i><b>Intervention/ Outcome</b></i>
AD-5	DAAS DDS DMS	Posting of revisions to initial document	DMS will post the rationale behind any substantive change to the transition plan	03/17/15	12/31/16	<input type="checkbox"/>	Comments from the public, DAAS, DMS, DDS, CMS HCBS regulations	DAAS, DDS, DMS, Provider enrollment, provider network, advocates	Posted Rationale
AD-6	DAAS DDS DMS	Public Awareness Campaign	DHS designs and implements public awareness campaign to educate consumers and family members of their rights under the settings regulations.	07/01/15	Ongoing	<input type="checkbox"/>	DMS, DAAS and DDS	DAAS, DDS, DMS, Provider enrollment, provider network, advocates, clients, public	Member and other interested parties have an understanding of changes and impacts
A-36	DAAS	Provider training and education	Design, schedule, and conduct training for providers on waiver compliance, changes they can expect to see in which they will be required to comply	07/01/15	Ongoing	<input type="checkbox"/>	DMS, DAAS	HCBS Providers, DAAS, DMS	Providers have an understanding of changes and impacts
D- 55	DDS	Provider training and education	Present changes to or new information regarding HCBS at Provider Conferences	09/01/15	Ongoing	<input type="checkbox"/>	DDS and DMS	HCBS Providers, DDS, DMS	Providers understand changes and impacts
AD-7	DAAS / DDS	Public Comment – Ongoing input	DAAS will leverage various stakeholder groups to periodically present and seek feedback to comprehensive transition plan development	07/01/15	Ongoing	<input type="checkbox"/>	DMS, DAAS and DDS	HCBS Providers, DAAS, DMS	Public comments for incorporation into policy and regulations

# Arkansas Home and Community-Based Services - Settings Transition Plan

## Elderly, Physical and Developmental Disability Waivers

---

### Section 1 Identification:

A-4 – DAAS expects to complete this item ahead of schedule, also amended this action item to separate out “identify stakeholders”

A-5 – new action item to separate out “assemble stakeholders” from A4, action items that follow have been renumbered to allow for this addition

A-6 – renumbered (previously A-5), revised proposed end date to better align with similar action items (A5-A9)

A-7 – renumbered (previously A-6)

A-8 – renumbered (previously A-7), revised proposed end dates to better align with similar action items (A5-A7, A9)

A-9 – renumbered (previously A-8), DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

D-1 – new action item, amended action to include DDS Policy 1091

D-2 – new action item, to include “Executive Branch approval”, action items that follow have been renumbered to allow for this addition

D-3 – renumbered (previously D-2), revised language to include “informal public comment” and separate out “legislative review”, beginning and end dates have been revised to align with similar action items (D2-D5)

D-4 – renumbered (previously D-2), new action item to include “formal public comment”, beginning and end dates have been revised to align with similar action items (D2-D5)

D-5 – renumbered (previously D-2), new action item to separate out “legislative review” from (D-2), beginning and end dates have been revised to align with similar action items (D2-D5)

D-6 – renumbered (previously D-3), revised language

D-7 – renumbered (previously D-4), new action item to include “Executive Branch approval”, beginning and end dates have been revised to align with similar action items (D2-D5)

D-8 – renumbered (previously D-4), new action item to include “informal public comment” and separate out “legislative review”, beginning and end dates have been revised to align with similar action items (D2-D5)

# Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

---

## **Section 1 Identification (cont.):**

D-9 – new action item, to include formal public comment, action items that follow have been renumbered to allow for this addition

D-10 – renumbered (previously D-4), new action item to separate out “legislative review” from (D-4), beginning and end dates have been revised to align with similar action items (D2-D5)

D-11 - new action item, to include “Develop revised DDS Policy 1090”

D-12 – new action item, to include Executive Branch approval, action items that follow have been renumbered to allow for this addition

D-13 – new action item, to align with similar action items (D-11 and D-12)

D-14 – new action item, to align with similar action items (D-11-D-13)

D-15 – new action item, to align with similar action items (D-11-D-14)

D-16 – renumbered (previously D-5)

D-17 – renumbered (previously D-6), end date has been revised

D-18 – renumbered (previously D-7)

D-19 – renumbered (previously D-8), beginning and end dates have been revised

## **Section 2 Assessment:**

In this section, DAAS decided to separate residential assisted living settings from day service center settings. This resulted in additional action items.

A-10 – renumbered (previously A-9), DAAS completed this ahead of schedule, proposed beginning and end dates have been revised

A-11 – new action item, applies only to day service center settings

A-12 – renumbered (previously A-10), proposed end day has been revised

# Arkansas Home and Community-Based Services - Settings Transition Plan

## Elderly, Physical and Developmental Disability Waivers

---

### Section 2 Assessment (cont.):

A-13 – renumbered (previously A-11), applies only to residential assisted living settings, DAAS completed this ahead of schedule, proposed beginning and end dates have been revised

A-14 – new action item, applies only to day service center settings

A-15 – renumbered (previously A-12), applies only to residential assisted living settings, DAAS completed this ahead of schedule, proposed beginning and end dates have been revised

A-16 – new action item, applies only to day service center settings

A-17 – renumbered (previously A-13), applies only to residential assisted living settings, DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

A-18 – new action item, applies only to day service center settings

A-19 – renumbered (previously A-14), applies only to residential assisted living settings, DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

A-20 – new action item, applies only to day service center settings

A-21 – renumbered (previously A-15), applies only to residential assisted living settings, DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

A-22 – new action item, applies only to day service center settings

A-23 – renumbered (previously A-16), applies only to residential assisted living settings, DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

A-24 – new action item, applies only to day service center settings

A-25 – renumbered (previously A-17), applies only to residential assisted living settings, DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

# Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

---

## Section 2 Assessment (cont.):

A-26 – new action item, applies only to residential assisting living settings

A-27 – new action item, applies only to day service center settings

A-28 – new action item, applies only to day service center settings

A-29 – renumbered (previously A-18), DAAS expects to complete this ahead of schedule, proposed beginning and end dates have been revised

A-30 – new action item

D-20 – renumbered (previously D-9)

D-21 – renumbered (previously D-10)

D-22 – renumbered (previously D-11)

D-23 – renumbered (previously D-12), revised language, end date has been revised

D-24 – renumbered (previously D-13), revised language

D-25 – renumbered (previously D-14), revised language

D-26 – renumbered (previously D-15), revised language

D-27 – renumbered (previously D-16), revised language

D-28 – new action item possibly align with DAAS \*

D-29 – renumbered (previously D-17)

D-30 – renumbered (previously D-18)

D-31 – renumbered (previously D-19)

# Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

---

## Section 2 Assessment (cont.):

D-32 – renumbered (previously D-20)

D-33 – renumbered (previously D-21)

D-34 – new action item, revised language

D-35 – renumbered (previously D-22), revised language

D-36 – renumbered (previously D-23), revised language, beginning and end dates have been revised

D-37 – renumbered (previously D-24), revised language, beginning and end dates have been revised

D-38 – renumbered (previously D-25), revised language, beginning and end dates have been revised

D-39 - renumbered (previously D-28), beginning and end dates have been revised

D-40 – renumbered (previously D-29), beginning and end dates have been revised

D-41 – renumbered (previously D-30), beginning and end dates have been revised

D-42 – renumbered (previously D-31), beginning and end dates have been revised

D-43 – renumbered (previously D-32), beginning and end dates have been revised

D-44 – new action item, revised language

D-45 – renumbered (previously D-33), revised language, beginning and end dates have been revised

D-46 – renumbered (previously D-34), revised language, beginning and end dates have been revised

D-47 – renumbered (previously D-35), revised language, beginning and end dates have been revised

# Arkansas Home and Community-Based Services - Settings Transition Plan Elderly, Physical and Developmental Disability Waivers

---

## **Section 2 Assessment (cont.):**

D-48 – renumbered (previously D-36), revised language, beginning and end dates have been revised

D-49 – renumbered (previously D-37), revised language, beginning and end dates have been revised

D-50 – renumbered (previously D-38), revised language, beginning and end dates have been revised

D-51 – renumbered (previously D-39), beginning and end dates have been revised

## **Section 3 Remediation:**

A-31 – renumbered (previously A-19), beginning and end dates have been revised

A-32 – renumbered (previously A-20), beginning and end dates have been revised

A-33 – renumbered (previously A-21), beginning and end dates have been revised

A-34 – renumbered (previously A-22), beginning and end dates have been revised

A-35 – renumbered (previously A-23), beginning and end dates have been revised

D-52 – renumbered (previously D-40)

D-53 – renumbered (previously D-42)

D-54 – renumbered (previously D-43)

## **Section 4 Outreach and Education:**

AD-5 – expect to complete this ahead of schedule, end date has been revised

A-36 – renumbered (previously part of A-21)

D-55 – renumbered (previously D-44)