

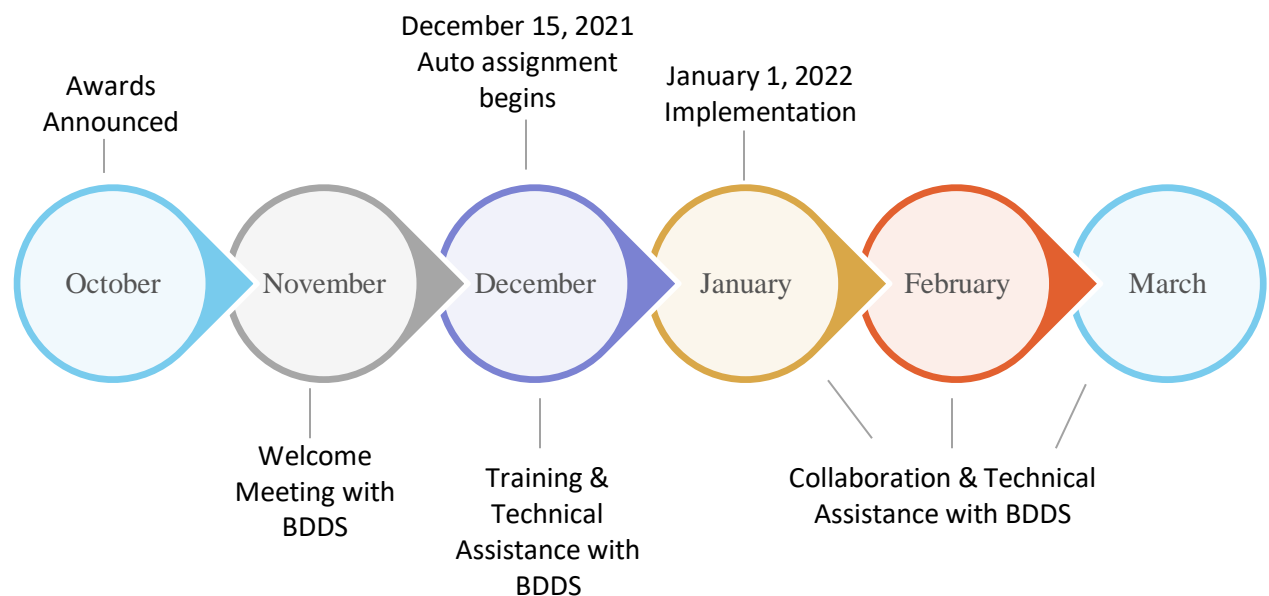
TRANSITION TOOLKIT – AWARDED CASE MANAGEMENT COMPANIES

Congratulations on being awarded a contract through the 1915(b)(4) selective contracting waiver for case management! The Bureau of Developmental Disabilities Services is excited to collaborate with you to provide high quality comprehensive case management services to individuals and families utilizing BDDS HCBS waivers.

To prepare for implementation and ensure a smooth transition BDDS is providing this transition toolkit with information and considerations moving forward.

IMPORTANT: As part of the required monthly contact with individuals and families **all case managers** of awarded case management companies **MUST** discuss and share the information and resources provided by BDDS to ensure understanding of the transition and freedom of choice. This must be documented in case notes and is a requirement to bill for the October monthly contact. More detailed information is included later in this toolkit.

GENERAL TIMELINE



November 2021 through March 2022, BDDS will host virtual monthly meetings with the awarded case management companies (CMCOs) to provide information, resources, training and technical assistance through the transition. More information will be coming soon.

INDIVIDUAL CASE FILES

Having up to date and correct information for each individual receiving BDDS HCBS waivers is critical for the individual's health, safety and delivery of quality home and community-based services. This transition presents an opportune time to ensure that every individual's information and documentation is accurate.

Demographics

By October 31, 2021, CMCOs must generate, review, and ensure case managers take necessary actions to verify, update or correct demographics for all individuals served and identified on the following reports:

- [Client Demographic Report](#)
- [Guardian Report](#)

While ongoing monitoring is expected, CMCOs will repeat these activities as individuals are transitioned to your CMCO but no later than December 31, 2021 to ensure accuracy of files and information for each individual served at the January 1, 2022, implementation of the §1915(b)(4) contracted case management services.

Case managers should follow up with individuals and/or guardians who have expressed intent or interest in guardianship changes or relocating prior to the end of the 2021 calendar year. Issues related to potential changes to setting, geographic location, guardianship or emancipation should be case noted with clarity on the potential changes and known timeframes.

As applicable, outstanding or pending issues related to relocation or guardianship changes that have not occurred on or before December 31, 2021, must be case noted in the BDDS Portal.

Monitoring

By October 31, 2021, CMCOs must generate, review, and take necessary actions to rectify discrepancies, deficiencies, and any incomplete or untimely monitoring activities required by DDFS and identified by the following report:

- [Monitoring Checklist Expiring/Expired Checklist Report](#)

While ongoing monitoring is expected, CMCOs will repeat these activities as individuals are transitioned to your CMCO but no later than December 31, 2021, to ensure accuracy of files and information for each individual served at the January 1, 2022, implementation of the §1915(b)(4) contracted case management services.

As applicable, outstanding issues that could not be rectified on or before December 31, 2021, must be case noted in the BDDS Portal.

Medicaid Issues

CMCO's should be taking necessary actions to support individuals and families to rectify any issues or barriers that are preventing them from accessing or being approved for the Medicaid state health plan. These can be identified by the following report:

- [Medicaid Issues Report](#)

As applicable, outstanding issues that could not be rectified on or before December 31, 2021, must be case noted in the BDDS Portal.

Incident Reporting

By November 30, 2021, CMCOs must generate, review, and ensure case managers take necessary actions toward timely follow-up and closure of all incident reports appearing on the following report:

- [Open IR Report](#)

While ongoing monitoring is expected, CMCOs will repeat these activities as individuals are transitioned to your CMCO but no later than December 31, 2021, to ensure accuracy of files and information for each individual served at the January 1, 2022, implementation of the §1915(b)(4) contracted case management services.

As applicable, outstanding issues related to IRs that cannot be closed or resolved in a timely manner will be case noted in the BDDS Portal.

Timely Completion

Case managers must ensure that all timelines and submissions of all required activities are being met. Outstanding or pending issues that have not occurred on or before December 31, 2021, must be case noted in the BDDS Portal. These activities include:

- BMR/BRQ
- CCB
- LOCSI

CMCO Billing

As noted above, as part of the required October monthly contact by case managers with individuals and families **all case managers** from awarded CMCO's MUST discuss and share the information and resources provided by BDDS to ensure understanding of the transition and choice. This must be documented in case notes and is a requirement to bill for the October monthly contact. Resources should be available and offered to individuals and families in

electronic and paper formats using whatever tools necessary to effectively and efficiently communicate with each individual by whatever means is preferred by the individual. The required discussion points and resources are as follows:

Discussion Points	Related Resources
What selective contracting waiver for case management means. Which case management companies were awarded. The impact to their services (quality and consistency should improve over time, no need to choose new case management if they want to stay with awarded company).	Copy of letter that was mailed by BDDS
How to find information and updates – includes case management innovation webpage, DDRS announcements, and BDDS Facebook page.	Ways to Stay Up to Date Flyer Webinar Opportunities for Individuals & Families Flyer
How to contact BDDS district offices and how they can help to answer questions.	BDDS District Map with contact information.

ASSIGNMENT OF NEW INDIVIDUALS

Individuals moving to awarded case management company

Current processes and timelines in place for intakes will remain. Awarded case management companies should be prepared for managing these processes given the anticipated increase in cases as we move to implementation.

As a reminder, providers shall not engage in uninvited solicitation of potential clients, who are vulnerable to undue influence, manipulation, or coercion. If case managers share that they are leaving their current employer and are asked by an individual or family (uninvited) where they are going to work, this would not be viewed as solicitation in violation of 460 IAC 6-36-2. In addition, case managers are encouraged to follow up with their employers regarding any company policies on this issue.

Auto Assignment

Through consistent and ongoing efforts by all current case managers, case management companies and BDDS district and central staff it is the desire and intent that all individuals who are currently utilizing a case management company that was not awarded a contract makes a choice of a new case management company that has been awarded no later than December 15, 2021. The ongoing efforts and communications include:

- Required discussion and sharing of resources by case managers to individuals and families in October, November and December.
- BDDS direct mailings in October, November and December.
- BDDS informational webinar for individuals and families in October and December.
- BDDS district office maintaining and monitoring list of individuals who need to make a new choice of case management companies.
- BDDS district office making direct contact with individuals and families beginning December 1st through December 14th who have not chosen a new case management company to advise of timeframe and assist in completing new choice list if needed.
- Ongoing and frequent reminders and information on BDDS Facebook page, including Facebook live events.

If through these efforts individuals remain who have not chosen an awarded case management company by **December 15, 2021**, BDDS will begin the auto assignment process. This is to ensure no disruption and a continuation of case management services which is a required service through our state and federal regulations. BDDS will randomly provide distribution of cases among the awarded case management companies. To ensure required activities are completed and there is no gap in case management services, the auto assigned case management company must accept the referral with **five (5) business days**.

Initial contact with the individual and guardian, if one exists, must take place within **seven (7) days** of acceptance of the referral. Initial contact may include in person, virtual, or telephone. If after 3 failed attempts to reach the individual and guardian through any of these means, the case manager may make the initial contact through mail. The initial contact must:

- introduce the case manager and case management company
- explain why they are the new case management company
- provide information on freedom of choice, including a choice list
- obtain signed choice list, if possible

An intake meeting with the individual and guardian, if one exists, must take place no later than **January 15th, 2022**. A signed choice list must be obtained at or before this meeting and uploaded into the BDDS portal no later than **January 31, 2022**.

An updated CCB with the change of case management company must be completed by the new CMCO and will be auto-approved. The auto assignment process should not interfere with any outstanding ICAPs or LOCs as these processes are linked to the individual.

Case managers and case management companies must monitor and track the auto assigned individuals to ensure all required activities are completed within the identified timeframes.

Choice List

The choice list (previously known as the pick list) will be updated in October to reflect which case management companies have been awarded a contract and which will no longer be available to provide case management effective December 31, 2021. An update will occur again in January 2022 to reflect only the awarded and contracted case management companies.

Individuals new to waiver services will have the freedom to choose from the choice list provided during the time they begin waiver services.

A new choice list is not required for individuals who choose to retain their current case management company when that case management company has been awarded a contract through the selective contracting waiver.

Allowable Case Load Size

To ensure *average case load* counts by case manager do not exceed the recommended *average* of up to 45 cases per case manager, beginning January 1, 2022 CMCOs will identify case managers whose caseloads impact the average of 45 cases and develop a plan to meet the requirement by March 31, 2022. This plan should be ready to be shared and discussed no later than February 1, 2022.

- [Case Manager Report](#)

The allowable caseload size across all active, full-time case managers of a case management company shall not exceed forty-five (45). This average is calculated based on the total number of individuals a case management company supports, divided by the total number of full-time case managers. Full time case managers are defined as a provider of case management services who supports 21 or more individuals on the date of calculation. This includes case management supervisors who do not normally carry a caseload but temporarily support 21 or more individuals on the date of calculation.

Example of Compliance:

In this example, Case Management Company A employs a total of 10 case managers, nine of whom are full-time in that they have caseloads of 21 or more individuals. The total number of individuals supported by this case management company on the date of calculation is 396. The total number of individuals (396), divided by the number of full-time case managers (9), equals an average caseload size of 44. While some case managers have caseloads that exceed 45, this case management company is compliant with the allowable caseload requirement.

CMCO	Case Manager	Case Load Total	Full Time
Case Management Company A	CM 1	39	Yes
Case Management Company A	CM 2	41	Yes
Case Management Company A	CM 3	43	Yes
Case Management Company A	CM 4	29	Yes
Case Management Company A	CM 5	52	Yes
Case Management Company A	CM 6	49	Yes
Case Management Company A	CM 7	50	Yes
Case Management Company A	CM 8	32	Yes
Case Management Company A	CM 9	45	Yes
Case Management Company A	CM 10	16	No
Total Individuals Supported		396	
Total Full-Time Providers of Case Management			9
Average Caseload Size (396 / 9 = 44)		44	

CASE MANAGER CAPACITY

Through the transition process it will be necessary for awarded case management companies to recruit, hire and train new case managers. This may include qualified professionals who have experience working as a BDDS case manager or qualified professionals new to BDDS waiver services.

Access to Systems

If a case manager transitions from one CMCO to an awarded CMCO, they must go through termination with their prior CMCO and then the new hire process with the awarded CMCO. When completing the “Case Management Access Request Form” please note which CMCO the staff was previously employed by.

Considerations for recruitment and retention

As an awarded case management company, you will be working to ensure equitable availability of case managers state-wide. Case management companies are expected to be able to show and provide case management services state-wide by April 1, 2022. Following are some considerations for recruitment and retention of case managers. **These are simply ideas and there is not an expectation that every case management company will complete any of the following activities.**

When developing your recruitment strategy, understanding what’s currently working and identify areas for improvement may be helpful. In order to do that, you need to take a look at your recruitment metrics. Some of those metrics may include time to hire, quality of hire, retention, cost per hire, source per hire, and experience of candidates. This will allow you to set attainable goals and determine which strategies will help you reach them.

The following are some tips that may be helpful in your recruitment venture.

Finding new case managers:

- Have an accurate job post.
- Make the application as easy as possible.
- Reach out to great applicants from the past.
- Host a meet-up. If you're looking for a way to involve your current employees in the recruiting process, meet-ups are one of the best ways to increase your employee engagement and find new talent.
- Companies can use their own employees as brand ambassadors to lure talent their way.
- Employee referral programs.
- New job board platforms or host a hiring event.
- Recruitment events are still an essential part of the recruiting process, and in our overwhelmingly digital age, they may be more important than ever. In-person events provide recruiters with a chance to get to know candidates' personalities and backgrounds beyond their resumes.
- Have a well-crafted careers page. It's a great resource to promote open roles, share content and provide information on the company's mission, culture and benefits.
- Employee testimonials in the form of 10–20 minute podcast episodes.
- Share company culture on social media.
- Google's Job Search tool is a great way to get your job posting in front of candidates before they click through to a website or job board.
- Recent college graduates.

Retaining case managers:

- Make sure employees know what you expect from them.
- Provide quality supervision and management.
- Provide a platform for employees to speak their minds freely within the organization.
- Allow employees to use their talents and skills.
- Provide an environment of fairness and equitable treatment.
- Tools, time, and training will be your best friend.
- Remember that exemplary employees want to learn and grow.
- Make sure senior management knows that an employee exists.
- Make staff members feel appreciated.

Staffing Statewide:

- Consider case manager's caseloads who already serve the county where your company has a need.
- Identify counties and regions that need additional case managers then recruit heavily in those areas.
- Plan for the ability to accept new referrals in all counties.

ROLE AS A STATE CONTRACTOR

The role of your company as a state contractor brings about opportunities to bolster and strengthen the relationship between the contractor and the state. This collaboration will in turn facilitate an increase in quality, comprehensive case management services across the state.

Contractors are responsible for planning, leading, executing, and supervising case management services as outlined in the contract, provider agreements, service definition, DDRS policies, Indiana Administrative Code, Indiana Code, and federal requirements. It is the responsibility of the case management entity to ensure that their case managers have the information and skills necessary to perform their duties as a professional in the field. The leadership, training, quality assurance, and supervisory level staff within each case management company should be monitoring and modeling excellence to ensure the necessary requirements are met and that the individual and family experiences are strength based, person centered, and provide opportunities to access integrated supports.

The BDDS and BQIS teams are here to support you now and for the years to come. Through our collaborative touchpoint meetings and quality status updates we will partner to review data, identify trends, explore solutions to outstanding issues and determine any necessary actions to increase quality service delivery. In addition, the following avenues remain available for specific questions or needs that cannot be addressed through other avenues (quality guide, policy, guidance, etc.):

- BDDS Helpline (BQIS.help@fssa.in.gov): BDDS helpline is to provide general information regarding BDDS programs and services. All inquiries are assigned to the appropriate staff to be address, including suggestions and concerns.
- JIRA Helpdesk Web Portal (<https://dmha.fssa.in.gov/helpdesk/?div=ddrs>): For system issues related to general log in and navigation; monitoring checklist; PCISP; transitions; provider web tool; Citrix; claims and billing; document library; IFUR; LOCSI; INsite; and requests to move from RHS daily rate to hourly rate.
- Beckie Minglin, Case Management Liaison (Beckie.minglin1@fssa.in.gov): The case management liaison is available to provide guidance and direction when other means have not been successful or available.

We look forward to working with you!