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EOEA PI-09-20  
Ref: EOEA PI-09-09

## **PROGRAM INSTRUCTION**

TO: ASAP Executive Directors

CC: ASAP Program Managers  
ASAP Nurse Managers  
ASAP Contracts Managers

FROM: Ann L. Hartstein

DATE: December 22, 2009

RE: Service Plans

### **Purpose:**

This Program Instruction (PI) reiterates certain fundamental requirements of all service plans:

- Service plans must incorporate the values and preferences of the consumer and be developed in conjunction with the consumer and his/her representative(s);
- Service plans must be cost-effective and consider less costly alternatives;
- Personal Assistance Services shall not be authorized for possible or preventative needs, but must respond to the need for assistance with activities of daily living and/or instrumental activities of daily living;
- Services authorized supplement the assistance provided by informal supports; and
- Services authorized must match the tasks being performed.

In addition, this PI establishes a set of requirements for extended hour service plans. Extended hour service plans are those that consist of more than 42 hours per week of Personal Assistance Services (Home Health Aide, Personal Care, Supportive Home Care Aide, Homemaker, and Companion). The purposes of the extended hour service plan requirements are:

1. To ensure that consumers who require this level of assistance are provided with interdisciplinary care management commensurate with their needs (i.e., in excess of basic requirements for the Community Choices Program); and
2. To establish a reasonable rate of compensation to providers of extended hour care for costs associated with administrative overhead.

This PI supersedes and renders obsolete any previously issued guidance on the subjects addressed herein, including PI-09-09.

**Background:**

Aging Services Access Points (“ASAPs”) are responsible for conducting assessments and developing service plans based on the needs of elders enrolled in the Home Care Programs, both state-funded and those funded through the 1915c Home and Community Based Services Waiver (“Waiver”). In the non-Waiver programs, ASAPs may only authorize those services identified and defined by the Executive Office of Elder Affairs (“EOEA”). For Waiver participants, ASAPs may only authorize those services defined in the Waiver. Service definitions describe the purposes for which those services may be authorized. For certain services such as personal care, guidelines issued by EOEA clearly describe situations in which a service may not be authorized. In all cases, services must be provided pursuant to a plan of care in which the tasks to be performed by the service worker to assist the elder are clearly identified and relate to assessed needs that are properly documented in the Comprehensive Data Set (CDS) and journal entries.

**Required Actions:**

In all cases, Personal Assistance Services may only be authorized, singly or in combination, pursuant to the guidelines contained in this Program Instruction.

- 1) The Care Manager, the consumer, and his/her representative(s) have a responsibility to consider less costly alternatives to Personal Assistance Services. These may include home modifications or assistive devices that promote the consumer’s greatest degree of independence in performing activities of daily living and instrumental activities of daily living.
- 2) Personal Assistance Services shall not be authorized for possible or preventative needs, but must respond to the need for assistance with activities of daily living and/or instrumental activities of daily living; possible or preventative needs may be addressed through other care plan interventions, such as referrals for PERS, Wanderer Locator, PT or OT, Habilitation Therapy, Nutritional Assessment, Vision Rehabilitation, chronic disease self-management programs, or primary care; the development of an evidence-based nursing care plan is also recommended;
- 3) Personal Assistance Services authorized by the ASAP must match the tasks being performed and relate directly to an assessed and documented need. For example, if Companion is authorized for the purpose of ensuring safety, the specific interventions needed to ensure safety

must be identified; if the purpose is to provide supervision, then the reason(s) such supervision is required must be clearly stated.

- 4) In addition, service plans consisting of more than 42 hours per week of Personal Assistance Services (“Extended Hour Service Plans”) must also adhere to the following additional requirements:
  - a) ASAPs shall negotiate discount rates for all Personal Assistance Services provided in Extended Hour Service Plans;
  - b) Consumers must receive a home visit from an ASAP Care Manager or ASAP RN at least every other month; the CDS must be completed every six months;
  - c) Extended Hour Service Plans must have an internal review and be approved by the interdisciplinary team, which must consist minimally of the elder’s Care Manager, an ASAP RN, a care management supervisor, and the ASAP RN manager; such approval need not be organized exclusively via in-person meetings between ASAP employees;
  - d) Extended Hour Service Plans must include a back-up plan that clearly identifies the roles and responsibilities of each party --- the ASAP, providers, the consumer, and his/her informal supports; in particular, when more than one provider is involved, the care plan must describe how services from multiple providers are coordinated;
  - e) Extended Hour Service Plans may not be authorized in advance of an in-home assessment by the ASAP RN, who must complete the full CDS; when this standard is not met, the ASAP must provide justification in a Journal Entry; in any event the RN must perform an in-home assessment within one week of service plan implementation; and
  - f) The ASAP must have a process by which executive level staff are kept informed on an ongoing basis about extended hour service plans authorized by the ASAP.

**Effective Date:**

This PI is effective December 22, 2009

If you have any questions about the content of this Program Instruction, please contact Joe Quirk, Director of Home and Community Programs at [Joe.Quirk@state.ma.us](mailto:Joe.Quirk@state.ma.us)