Indiana Family and Social Services Administration
Bureau of Developmental Disabilities Services

Review of Case Management Payment Rates in the Family Supports Waiver and the Community Integration and Habilitation Waiver

Provider Survey Instructions

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INTRODUCTION

As required by Public Law 209 enacted in the 2018 legislative session (House Enrolled Act No. 1317), the Indiana Family and Social Services Administration's Bureau of Developmental Disabilities is conducting a study of payment methodologies and rates for case management services for participants in the Family Supports Waiver (FSW) and the Community Integration and Habilitation (CIH) waiver. Burns & Associates, Inc. (B&A) is providing assistance in this effort.

As part of the rate study, B&A is distributing a survey to collect data regarding providers' service delivery designs and costs. Participation in this survey is voluntary, but all providers are strongly encouraged to participate as the information collected will be a key consideration in the assessment of current rates.

Data collected through this survey will be used solely for the purpose of evaluating reimbursement rates and only aggregated data will be reported.

Assistance with the Survey

B&A recognizes that the survey can be complicated, and has established several resources to assist agencies in completing the survey:

- Agencies are encouraged to read these instructions in their entirety.
- Specific directions for many questions are embedded in the survey itself and are designated with an ⓘ icon.
- B&A will record a webinar to provide a detailed walk-through of the survey instrument. The webinar can be accessed through the web page established for this project at http://www.burnshealthpolicy.com/BDDSCaseManagement/. All providers are encouraged to listen to the instructional webinar.
- Questions regarding the survey can be directed to Stephen Pawlowski with B&A at spawlowski@burnshealthpolicy.com or (602) 241-8519.

Overview of the Survey

The survey is a Microsoft Excel workbook and is compatible with Excel 2007 and newer versions. Broadly, it is designed to collect information in four primary areas:

- Administrative and Program Support Costs, including staff wages and benefits and non-staff expenses
- Case Manager Wages and Benefits
- Caseloads and Other Service Design Factors

Throughout the survey, fields in which users may record data are shaded in light green. Examples are shaded in grey. Dark green fields are automatically calculated based upon other responses.

Completing and Submitting the Survey

Providers should report information for the fiscal year ending June 30, 2018.

Partially completed surveys will be accepted. If any information requested in the survey is unavailable, leave that field blank. Similarly, if there is any schedule that your agency cannot complete, that form may be skipped. Even if a submitted survey is incomplete, the information that your agency is able to provide will be considered as part of the analysis of survey responses.

When saving the survey, please add your agency's name to the beginning of the file name, for example, "ABC Agency BDDS Case Management Rate Study Provider Survey".

The deadline for submitting completed surveys is October 1, 2018. Submit completed surveys to Barry Smith with B&A at bsmith@burnshealthpolicy.com.

If there are any factors that you believe should be considered but were not included in the survey, note those issues (and any other comments) in the transmittal email when submitting the survey. You may also submit any other documentation that you would like considered as part of this study.

The remainder of this document provides additional instruction for completing the forms included in the survey.

DEFINITIONS OF ADMINISTRATION, PROGRAM SUPPORT, AND DIRECT CARE

The survey asks agencies to differentiate between direct care, program support, and administrative costs. There are not always clear distinctions between these categories and definitions of these terms vary. For the purposes of this survey, the following guidelines should be used:

Administration	Includes expenses associated with the operation of your agency, but which are not program-specific and which cannot be allocated to individual services. Employees that are typically considered administrative include general management, finance/ accounting, information technology, and human resource staff. Expenses associated with these staff (for example, their travel reimbursement) are also considered administrative.
Program Support	Includes expenses that are neither direct care nor administrative. Such activities are program-specific and can be allocated to an individual service, but are not performed on behalf of a specific individual. Examples include staff responsible for training providers, office space for program operations staff, accreditation and professional licensing fees, program development, supervision, and quality assurance.
Direct Care	Includes the salaries and benefits (including unemployment insurance and workers' compensation) of staff providing direct, billable services, including case management. Direct care costs should not be reported on the "Admin Staff" worksheet or "Admin Other" worksheet described below.

ADMINISTRATIVE COSTS

The survey includes two forms to collect information regarding administrative and program costs. The first – Admin Staff – covers payroll and fringe benefit costs for all administrative staff. The second – Admin Other – covers all non-staff costs.

'Admin Staff': Administrative and Program Support Staff – Salary and Benefit Costs

Use this form to report information regarding the staff responsible for the administrative and program support functions of your organization. All cost figures should reflect the fiscal year ending June 30, 2018.

Title	List the job title for each administrative employee. This level of detail is requested to allow for a review to ensure that direct care staff are not reported on this schedule. For external reporting purposes, only a total cost for wages and for benefits will be reported and organization-specific data will not be released. If your agency has multiple employees within a given job title (e.g., three Human Resource Specialists), you may list them on the same row.
Actual Wages	Report the total wages (inclusive of salaries, bonuses, and any other cash compensation) actually earned in the fiscal year ending June 30, 2018 by the individual(s) included in each job title. Only report actual wages paid, rather than salary levels (e.g., if an employee was hired in the middle of the fiscal year, report the wages that they were actually paid and not their annual salary).
Actual Cost of Select Benefits	Only report costs that are offered at your agency's discretion (including health insurance). Do not include Social Security and Medicare payroll taxes, state and federal unemployment insurance, or workers' compensation. These costs will be separately accounted for.
Cost Allocation	The worksheet asks that the cost associated with each job title be allocated to the programs they support. For example, an agency may provide waiver case management services as well as child welfare services. In this example, it would be inappropriate to allocate the entire cost of, for instance, the executive director to waiver case management because she is also responsible for the child welfare services. The worksheet differentiates between waiver case management services and anything else your agency may perform. These services are further divided between administrative and program support activities. Additionally, although this form is intended for administrative and support staff, it is recognized that these staff may sometimes provide direct care (including case management) so the form allows for reporting of direct care time, as well. For each job title, input a percentage into each column corresponding to the portion of the staff's time associated with the administration and support of waiver case management, other services, and direct care. The total allocation of time across the five columns should equal 100 percent. If the row turns red, review and revise the appropriate hours so that the total equals 100 percent. It is understood that how a staff person spends their time may vary from week-to-week. To complete this form, informed judgement will be necessary to consider these variations and estimate staff time over the course of a year.

‘Admin Other’: Administrative and Program Support Expenses Other Than Staff Salary and Benefits

Use this form to report information for administrative and program support expenses other than staffing. All wage- and salary-related costs should be reported on the ‘Admin Staff’ worksheet.

Expense Categories	For each expense category, report the total expense for the fiscal year ending June 30, 2018. The worksheet has been prepopulated with common expense categories. Additionally, Lines 20 through 24 are available to report expenses that do not fit well into the provided categories. It is understood that there may be some differences regarding how agencies categorize their expenses. Agencies are not required to report an amount for each expense category, but should use the categories that are closest to their own accounting classifications. For example, an agency’s accounting records may not differentiate between hiring-related advertising and other advertising expenses. In this case, the agency can simply report its advertising cost (including hiring-related) on Line 14 and exclude that cost from the hiring expenses listed on Line 9.
Cost Allocation	Each reported cost must be allocated across the services provided by your agency. There are columns for the administration and support of waiver case management and for all other services. The reported allocations, which are used to assign the costs associated with the expenses listed on each line, must equal 100 percent. If they do not, or if a cost has been entered but not allocated, an error message will appear to the right of the table.

CASE MANAGER COSTS

The survey includes three forms to collect information regarding case management staff. The first – Case Manager Wages – covers hours and payroll costs for all direct care staff. The second – Case Manager Benefits – covers information related to fringe benefits offered to case managers. The third – Case Management Services – covers caseloads and work activities.

'CaseMgr Wages': Case Managers – Wages, Turnover, and Training

This form collects information regarding the wages paid to your agency's case managers. You do not need to include case managers who do not provide services to participants in the FSW or CIH waivers.

Job Titles	List the job titles of staff who provide case management services. Staff do not need to be listed individually; they can be grouped by job title, but do not group employees together when there are meaningful differences in job responsibilities or wage/ salary levels. For example, staff that supervise other employees should not be combined with staff who do not have such responsibilities.
Case Manager Payment Method	Use the drop-down menu to report how case managers are paid: either hourly/salaried or on a per case basis. The response in this column will determine where to report wage costs. For hourly/ salaried staff, providers should complete the total hours paid and total wages paid columns. For staff paid on a per-case basis, providers should complete the FSW/ CIH # of Cases Paid and FSW/ CIH per Case Rate columns.
Cost Allocation	The worksheet asks that the cost associated with each job title be allocated to the programs they deliver. For example, a case manager may provide FSW/ CIH waiver case management services as well as early intervention case management. Accordingly, their costs should be fairly distributed between these programs. The worksheet differentiates between waiver case management services and any other services your agency may perform or administrative responsibilities that staff might have. For each job title, input a percentage into each column corresponding to the portion of the staff's time that is spent in support of that service. The total allocation of time across the two columns should equal 100 percent. If the row turns red, review and revise the appropriate hours so that the total equals 100 percent. It is understood that how a staff person spends their time may vary from week-to-week. To complete this form, informed judgement will be necessary to consider these variations and estimate staff time over the course of a year.

'CaseMgt Svcs': Case Management – Caseload, Staffing, and Other Factors

Staffing Pattern Section

This section requests information regarding the 'typical' week for a case manager.

To complete this section, report the total number of hours that a case manager works in a typical week on Line 8. Then, in the remaining lines, report the activities in which they are engaged. As necessary, there are 'Other activities' lines that can be used for tasks not provided on the predefined list. The sum of hours for all reported activities must be equal to the total number of work hours reported on Line 8.

It is understood that the number of hours that a case manager works and how they spend their time may vary from week-to-week. To complete this section of the form, informed judgement will be necessary to consider these variations and determine what constitutes a 'typical' week for the average case manager. This could be done by considering how much time a case manager spends on each of these activities over the course of a year and then dividing that total by 52. For example, most case managers probably do not participate in an Individual Support Agreement (ISA) meeting during a typical week. Rather, they may attend a handful of ISA meetings over the course of a year. Thus, if a case manager spends an average of 10 hours per year in ISA meetings, your agency would report 0.19 hours per week (10 divided by 52).