**SECTIONS 18 AND 20 PROVIDER RATE STUDY PROVIDER SURVEY INSTRUCTIONS**

– distributed by –



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– on behalf of –

Maine Department of Health and Human Services Office of Aging and Disability Services



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**INTRODUCTION**

As part of its ongoing effort to review payments for MaineCare services, the Maine Department of Health and Human Services (DHHS) is in the process of studying payments for services covered by Sections 18 and 20 of the MaineCare Benefits Manual. Burns & Associates, Inc. (B&A) is assisting DHHS in this effort.

B&A is distributing a survey to collect data regarding providers’ service delivery designs and costs for the services covered by the rate study:

|  |  |  |
| --- | --- | --- |
| **Service\*** | **Code/ Mod.\*\*** | **Section(s)** |
| Care Coordination | T1016 | 18 and 20 |
| Home Support Quarter-Hour | T2017 | 18 and 20 |
| Home Support Per Diem | T2016 | 20 |
| Home Support Level II | T2016 | 18 |
| Home Support Level III | T2016-TG | 18 |
| Personal Care | T1019 | 20 |
| Community Support | T2021 | 20 |
| Career Planning | T2015 | 18 and 20 |
| Work Support | H2023 | 18 and 20 |
| Employment Specialist | T2019 | 18 and 20 |
| Consultation-Behavioral | G9007-HI | 20 |
| Consultation-Psychological | H0031 | 20 |
| Consultation-Occupational Therapy | G9007-GO | 20 |
| Consultation-Physical Therapy | G9007-GP | 20 |
| Consultation-Speech | G9007-GN | 20 |
| Maintenance-Occupational Therapy | S8990-GO | 20 |
| Maintenance -Physical Therapy | S8990-GP | 20 |
| Maintenance -Speech | S8990-GN | 20 |
| Assistive Technology-Assessment | 97755 | 18 and 20 |
| Non-Traditional Communication-Assessment | 92507 | 20 |
| Non-Traditional Communication-Consultation | G9007 | 20 |

\* Home Support Remote Monitoring (T2017-QC and T2017-GT) and Worked Order Day Clubhouse (S5102) are also part of the scope of work, but due to the limited number of providers, B&A will be directly reaching out to those providers

\*\* Section 18 services also have a U9 modifier and Section 20 services also have a U8 modifier

The survey is voluntary, but all providers are strongly encouraged to participate as the information collected will be a key consideration in the rate study.

The information being collected in this survey will be a factor in the rate setting process and will be utilized only for this purpose. Only aggregated data will be publicly reported; no provider-specific information will be published.

# 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:

* Guidance for many questions is embedded in the survey itself and are designated with an icon.
* These instructions supplement the embedded directions and should be reviewed before completing the survey.
* B&A will recorded a webinar to provide a detailed walk-through of the survey instrument. The webinar will be available by Friday, September 6th and can be accessed through the web page established for this project at <http://www.burnshealthpolicy.com/mainesections18-20/>. All providers are encouraged to listen to the instructional webinar.
* Questions regarding the survey can be directed to Karl Matzinger with B&A at [kmatzinger@burnshealthpolicy.com](mailto:kmatzinger@burnshealthpolicy.com) or (602) 241-8515.

# Overview of the Survey

The survey is a Microsoft Excel file and is compatible with Excel 2010 and newer versions. Broadly, it is designed to collect information in four primary areas:

* Administrative staff wage and benefit costs
* Direct care and program support staff wage and benefit costs
* Non-staff expenses
* Service-specific caseload, service design, and staffing patterns

All providers should complete the forms related to administrative staff, direct care and program support staff, and other non-staff expenses. Each individual service covered by the survey has its own form.

Providers should only complete the forms for the services they provide.

Throughout the survey, fields in which providers may record data are shaded in light green. Some fields are restricted to accept only numeric answers. 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 their most recently completed fiscal year.*

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 left blank. 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, “Agency Name\_Sections 18 and 20 Provider Survey”.

***The deadline for submitting completed surveys is September 27, 2019***. Submit completed surveys to Barry Smith with B&A at [bsmith@burnshealthpolicy.com.](mailto:bsmith@burnshealthpolicy.com)

If there are any factors that you believe should be considered as part of the rate study 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.

**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 office space) are also considered administrative. Non-staff examples include business fee and taxes and office equipment and supplies that are not allocable to specific services.

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 on behalf of a specific participant. Examples include first-line supervisors as well as staff responsible for program curriculum, quality assurance, and training direct care workers. Expenses associated with these staff (for example, their office space) are also considered program support. Non-staff examples include accreditation and professional licensing fees.

Direct Care Includes the salaries and benefits of staff providing direct, billable services as well as activities specifically related to direct care. For example, time spent traveling between service visits and writing progress notes after a billable service should be categorized as direct care even though that time may not be directly billable. Direct care also includes transportation expenses for persons who receive services, the facility in which programs are delivered (for example, the building in which a Community Support Services program is operated), and program materials and supplies (for example, art supplies).

**ADMINISTRATIVE STAFF WAGES AND BENEFITS**

Use this form to report information regarding the staff responsible for the administrative functions of your organization. All cost figures should reflect the most recent completed fiscal year.

Title List the job title for *all* of your agency’s administrative employees. If your agency has multiple employees within a given job title (e.g., three Human Resource Specialists), they can be either grouped together on a single line or individually listed with one employee per line.

This level of detail is required to: one, ensure that program support and direct care staff are not reported on this schedule and, two, allow for consideration of administrative rates across the agency in total as well as for Section 18 and 20 services in particular.

For external reporting purposes, only a total cost for wages and for benefits across all agencies will be reported and organization-specific data will not be released.

Although this sheet is only intended to capture information regarding administrative staff, some staff may have both administrative and non-administrative (that is, direct care or program support) responsibilities, particularly in smaller agencies. In these instances, the staff will be listed both on this form and on the Direct Care and Program Support Workers – Wages and Benefits form discussed on the following page, with their time allocated appropriately.

Actual Wages Report total wages (inclusive of salary, bonuses, and any other cash compensation) actually paid to the individual(s) in each job title in the most recent completed fiscal year.

Report actual wages paid, rather than salary levels (e.g., if an employee was hired in the middle of the fiscal year, report only earned wages and not their annual salary).

Time Allocation

For the employee(s) listed on each line, allocate their time using the nine allocation columns, considering how much time they spend supporting Section 18 services, Section 20 services, and all other programs operated by your agency and then, within each program, how much time they spend on administration, program support, and direct care.

The total of the time allocated across these nine columns should equal 100 percent. If it does not, or if a cost has been entered but not allocated, an error message will appear to the right of the table.

If your agency does not already have a methodology for allocating costs across programs, it is recommended that your agency conduct a one-week time study in which staff maintain logs and record (no less frequently than once per hour) the program on which they are working. After that week, each employee’s time would be allocated based on their log. For example, if an employee worked 40 hours and 10 of their hours were related to the administration of Section 18 services, 25 percent of that employee’s time would be allocated to Section 18 administration. If a time study is not feasible for your agency, contact B&A to discuss other potential allocation methodologies.

**DIRECT CARE AND PROGRAM SUPPORT WORKERS – WAGES AND BENEFITS**

Use this form to report information regarding the staff responsible for direct care and program support for Section 18 and 20 services provided by your agency.

All cost figures should reflect the most recent completed fiscal year.

Job Titles List the job titles of staff who provide direct care or program support for Section 18 and 20 services. Staff can be listed individually or grouped by job title, but do not group employees together when there are meaningful differences. For example, staff that supervise other employees should not be combined with staff who do not have such responsibilities. Or, if your agency uses a single job title for all direct care workers, but always pays staff providing certain services a higher wage, these staff should be reported separately.

Agencies do *not* need to include direct care or program support staff who do not provide Section 18 and 20 services covered by the provider survey. For example, direct care workers who only provide Section 21 services do not need to be listed.

**DIRECT CARE AND PROGRAM SUPPORT WORKERS – ALLOCATION OF WORK HOURS**

This form seeks to allocate the work time of the staff reported on the Direct Care and Program Support Workers - Wages and Benefits form. The job titles listed on the Direct Care and Program Support Wages form are automatically transferred to this form.

Allocation Columns

There is a separate column to report direct care time for each service covered by the survey. As noted earlier, ‘direct care’ includes billable services as well as activities specifically related to direct care. For example, time spent traveling between service visits and writing progress notes after a billable service should be categorized as direct care even though that time may not be directly billable.

The rightmost columns include time spent on program support for Section 18 and 20 programs, on administration of Section 18 and 20 programs, and on activities unrelated to Section 18 and 20 programs (that is, any direct care, program support, or administration for other programs operated by your agency).

Only working hours should be considered when completing this form; do not include paid time off (holidays, vacation, or sick leave). For each job title, report the percentage of their time that is spent on that service or activity. Zeroes do not need to be entered.

The total allocation of time across the 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.

**EXPENSES OTHER THAN STAFF SALARY AND BENEFITS**

Use this form to report information for expenses other than staffing. All wage- and salary-related costs should be reported on the ‘Admin Staff Wages and Benefits’ and ‘Prog Staff Wages and Benefits’ forms.

Expense Categories

For each category of expenses, the form requests the total expense for your agency’s most recently completed fiscal year. It is understood that there may be some differences regarding how agencies categorize their expenses. The categories provided on the form are common business expenses, but vendors are not required to report an amount for each and should use the categories that are closest to their own accounting classifications. For example, a vendor’s accounting records may group utilities as a part of rental expense. In this case, the agency can report its total rental cost (including utilities) on that line rather than trying to break utilities out of their records.

Additionally, Lines 26 through 30 are available to report expenses that do not fit well into the provided categories.

Expense Allocation

For each category of expenses, allocate the total expense across Section 18 and 20 (administration, program support, and direct care) and other programs (administration, program support, and direct care). The total allocation should equal 100 percent. If it does not, an error message will appear to the right of the table.

**‘STAFFING PATTERN’ SECTIONS**

Most of the service-specific worksheets include a section that collects information regarding the ‘typical’ week for a direct care staff providing the applicable service.

It is understood that the number of hours that a direct care worker 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 an average week. This could be done for example, by considering how much time a direct care worker spends on each of these activities over the course of a year and then dividing that total by 52. For example, most direct care workers probably do not participate in a care plan meeting during a typical week. Rather, they may attend a handful of care plan meetings over the course of a year. Thus, if a direct care worker spends an average of 15 hours per year in care plan meetings, your agency would report 0.29 hours per week (15 divided by 52).

Following is a description of each of the activities listed in one or more Staffing Pattern sections. Note that not all activities apply to all services.

Total hours worked and paid for in a week

The first line of each Staffing Pattern section asks the total number of work hours for direct care staff during a typical week. Work hours do not include paid time off or holidays.

The remaining lines in the Staffing Pattern section require that you account for the total number of hours reported on this line by allocating their time across the provision of service and other activities. There is an automatically- calculated line at the bottom of the section that states whether or not all reported work hours have been allocated.

Providing [applicable services]

The second line of each Staffing Pattern section asks the number of hours per week that direct care staff provide the applicable service (that is, the service for which the worksheet is being completed). For example, on the Home Support Quarter-Hour worksheet, you would report the number of hours per week that a typical direct care staff is providing billable Home Support services.

On some schedules, this line is automatically calculated by multiplying the average number of weekly visits per direct care staff and the average length of visit reported in the Agency Caseload and Service Design section.

Providing other billable services

Most Staffing Pattern sections ask the number of hours per week that direct care staff provide billable services other than the applicable service code. For example, if staff providing Home Support Quarter-Hour services also provide some billable Community Support services, the time spent providing Community Support would be reported as ‘other billable’ time on the Home Support Quarter-Hour worksheet (and the reverse would be reported on the Community Support form).

Participating in care plan meetings

Report time that direct care staff spend participating in planning meetings. If the staff person bills for any time spent in planning meetings, the time would be reported as ‘Providing [applicable service]’.

Recordkeeping Report time that direct care staff spend completing progress notes, updating medical records, etc. that does not occur during the course of service provision. Do not include time that is billed. For example, if progress notes are completed while services are delivered and being billed, the time would not be reported.

‘Employer time’ Report time that direct care staff spend on duties associated with their employment. Examples include attending staff meetings and receiving counseling from their supervisor.

Travel time between individuals

Report time that direct care staff spend driving between the office and a service site and between service sites. Only report travel time for which the staff is paid. That is, employees are generally not paid to travel between their home and the office/ service site at the beginning or end of the workday so those hours would not be reported. Do not include billable time associated with transporting individuals.

Time lost to missed appointments

Hours reported for this category should only include the amount of time that cannot be redirected to another billable or non-billable activity. It is not necessarily the length of the missed appointment. For example, a direct care staff may have a Home Support Quarter-Hour appointment scheduled for four hours with an individual who cancels. The staff person may not have other billable work that can be completed during this time, but they likely perform other functions, such as catching up on paperwork or training, performing ‘collateral’ contacts, etc. rather than being idle. Since there are categories for these other activities, the time should be reported there.

Monitoring the implementation of the care plan

Report time that care coordinators spend on monitoring the implementation of individuals’ care plan through activities such as reviewing individuals’ attendance schedules or consulting with individuals’ service providers.

Performing ‘collateral contacts’

Report time that direct care staff spend performing contacts on behalf of an individual. Examples could include speaking with an individual’s care coordinator or health care provider, workplace supervisor, etc.

Program preparation/ set-up/ clean-up

Report time that staff spend on setting-up or cleaning-up program space before service recipients arrive or after they leave.

Other activities Each Staffing Pattern section includes lines for undefined ‘other activities’ that can be used to report any duties that occur during a typical workweek, but that are not included in the defined categories. If these lines are used, type in a brief description of the activity and report the associated time.

**‘HOME SUPPORT RES. DETAIL’: INDIVIDUALS AND STAFFING DETAIL**

The survey includes form to collect information regarding the individual Home Support homes operated by your agency. The survey includes room for seven residences. If your organization operates more than that, make additional copies of the worksheet.

Lines 3a-3h For each residence, list the client ID of each resident.

Then, use the drop-down list to indicate the service they are receiving (i.e., Section 20 per diem, or Section 18 Level II or Level III). Report all home residents; if there are individuals who are not receiving Section 18 or 20 services, select ‘Other’ from the drop-down list.

Lines 4a-4g For each home, record the number of scheduled awake and sleep staffing hours for each day of the week. As an example, consider the following schedule for a Monday:

12:00 AM – 6:00 AM one overnight staff who sleeps (1 staff \* 6 hours = 6

hours)

6:00 AM – 8:00 AM two staff to fix breakfast, prepare residents for their

day activities, etc. (2 staff \* 2 hours = 4 hours)

8:00 AM – 3:00 PM no staffing as residents are participating in day

activities

3:00 PM – 5:00 PM one staff as residents are returning home (1 staff \* 2

hours = 2 hours)

5:00 PM – 10:00 PM two staff to fix dinner, assist with chores, etc. (2

staff \* 5 hours = 10 hours)

10:00 PM – 12:00 AM one overnight staff who sleeps (1 staff \* 2 hours = 2

hours)

In this example, 16 ‘awake’ hours and 8 ‘asleep’ hours would be reported for Monday.

Lines 5a-5e thru

Lines 12a-12e

These sections will prefill the client IDs reported on Lines 3a through 3h. That is, the individual listed on Line 3a will be prefilled in section 5, the individual listed on Line 3b will be prefilled in section 6, etc.

For each individual residing in the home, report the typical number of hours of direct support they receive in a week from each classification of licensed professional. For example, if a registered nurse spends 30 minutes with an individual each day Sunday through Saturday, 3.5 hours of registered nurse would be reported for that individual.