**NORTHEAST IOWA AREA AGENCY ON AGING PERSON CENTERED FUNDING PROGRAMS OPERATING RULES**

# FY 2018 – July 1 2017 – June 30 2018

Northeast Iowa Area Agency on Aging (NEI3A) Funding Program aims to provide services and choices for frail adults receiving long term care in the community. Consumer needs are objectively identified through a screening and/or comprehensive assessment process and community services are authorized accordingly by NEI3A funding program personnel. Services are monitored and adjusted as necessary based upon consumer choice and funding availability.

The NEI3A Funding Program directly purchases needed services for consumers from a pool of competing providers with the choice of provider made by consumers. The NEI3A funding pool is established through formal agreements with existing community service providers but allows for new providers to be recommended by the consumer on an ongoing basis.

Services available include:

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| Service | Rate |
| Adult Day | $8/hour |
| Personal Care – Nursing | $88/visit |
| Chore | $16/hour |
| Homemaker | $21/hour |
| Home repair | Per quote |
| Material Aid/assistive devices | Per quote |
| Nutrition Counseling | $35/hour |
| Personal Care/Home Health Aide | $27/hour |
| Respite Care (in home) | $19/hour |
| Personal Emergency Response installation | $53 |
| PERS Monthly service | Per quote based on service type |

**I. FUNDING SOURCE/REIMBURSEMENT STRUCTURE**

NEI3A fundingutilizes federal and state funds to purchase services otherwise unavailable to consumers through existing payments and/or service structures. These funds are targeted to fill gaps in services and to be a funding of last resort. When Older American Act funding is utilized, NEI3A will send a voluntary contribution statement to the consumer. Funding is based upon a service plan and provides for consumer choice of service provider.

NEI3A uses a unit cost reimbursement structure to purchase services from service providers. The NEI3A Funding Program Provider Agreement, submitted online during the application process, is the formal agreement that establishes a fixed unit cost reimbursement rate for each unit of service delivered. Monthly reimbursement received by a provider from NEI3A is based on the number of units of service authorized and provided during the month as submitted based upon the service agreement provided by NEI3A to the provider at time of service authorization.

**II. TARGET POPULATION**

NEI3A will determine consumer’s eligibility for services and the appropriate funding source. General guidelines are:

**NEI3A Funding** *–* NEI3A is an Affirmative Action / Equal Employment Opportunity employer. Selected vendors will have to show through the organization’s personnel policies that they comply with applicable state and federal laws that prohibit discrimination in employment on the basis of race, color, creed, religion, national origin, sex, sexual orientation, gender identity, mental or physical disability, age, or marital status. Additionally, NEI3A , as a human service provider, provides services to individuals regardless of race, color, creed, religion, national origin, sex, sexual orientation, gender identity, mental or physical disability. Purchases are for services only in cases which are not Medicare, Medicaid, Medicaid Waivers, or third party payment reimbursable.

NEI3A will purchase services on behalf of NEI3A funded consumers, age 60 and over, determined to be in need of such service intervention. The intended population is persons whose financial resources are insufficient to meet expenses and the cost of care. It is the responsibility of the NEI3A Funding Program personnel to determine appropriate service intervention.

Up to a maximum of $500 per person per month may be allocated through the NEI3A Funding system for monthly services if deemed appropriate. A maximum of $1000.00 will be allocated through the NEI3A Funding system for home repair/environmental adaptation if deemed appropriate. Exceptions to policy may be made in extreme emergency cases as determined by the NEI3A Funding Program personnel and approved by the executive director.

**III. PROVIDER ELIGIBILITY STANDARDS**

**A. Eligible Organizations** - Public, private non-profit or profit making service organizations and political subdivisions of the state who offer services which meet the NEI3A Funding Service Definition Taxonomy and serve the Iowa counties of Allamakee, Black Hawk, Bremer, Buchanan, Butler, Chickasaw, Clayton, Delaware, Dubuque, Fayette, Grundy, Hardin, Howard, Jackson, Marshall, Poweshiek, Tama, and/or Winneshiek are eligible to apply. Proof of eligibility must be provided to NEI3A upon request.

**B. Insurance** – Service providers shall have sufficient insurance to indemnify loss of federal, state, and local resources due to casualty or fraud, and to cover the fair market value of the asset at the time of loss. Insurances required for each program are: workers compensation; unemployment; property and theft coverage; fidelity bonding (for persons handling cash); facility insurance (for facilities purchased with federal and/or state funds); and no fault vehicle insurance (for agency owned vehicles). Proof of insurance must be provided to NEI3A upon request.

**C. Confidentiality** – Service providers shall have procedures to protect and assure the confidentiality of information about the older persons they serve. No information will be disclosed without the prior informed consent of an individual and/or his/her legal representative. Disclosures may be allowed by court order or for program monitoring by authorized federal, state or local agencies (which are also bound to protect the confidentiality of consumer information) so long as acting in conformity with the Privacy Act of 1974. All consumer information shall be maintained in controlled access files. Documents detailing policies and procedures regarding confidentiality must be provided to NEI3A upon request.

**D. Audit Standards** – The provider agency agrees to maintain records to easily identify the utilization of Area Agency on Aging funds and make those records available for audit and assessment for three years beyond the end of the award period. Consumer Satisfaction Surveys or on-site assessments will be completed annually. Documents detailing policies and procedures regarding audit standards must be provided to NEI3A upon request.

**E. Agency Standards** – No NEI3A Funds will be contracted to a provider that has been prohibited from participating in the Medicare, Medicaid, or medical assistance programs.

 The provider agency will ensure that all employees providing in-home care to consumers have had a criminal background check and been cleared for said functions in accordance with Iowa Code Chapter 135C.33.

**F. Termination of Funds Policy** – Funds awarded by NEI3A may be terminated at any time for violations of any terms and requirements of the funding source.

**G. Grievance Policy** – The provider agency will have a formal grievance and appeals procedure for perceived discrimination and/or decisions that appear unfavorable to consumers concerning the provision of service. Documents detailing policies and procedures regarding consumer grievances must be provided to NEI3A upon request.

 NEI3A has in place a grievance policy and appeals procedure for perceived discrimination and/or decisions that appear unfavorable to consumers concerning the appropriation of service. This consumer appeal process extends beyond the service of all participating providers and includes a process for consumer complaints and informs the consumer of the process.

1. Any Consumer denied access to NEI3A Funding, after the initial denial by The NEI3A Funding Program, will have the right to appeal that decision within thirty days to Northeast Iowa Area Agency on Aging for reconsideration. All consumers involved in an appeal have the right to have an advocate present with them when they meet with Northeast Iowa Area Agency on Aging.

2. Northeast Iowa Area Agency on Aging will meet with the consumer within five working days of notification of the appeal. Northeast Iowa Area Agency on Aging will review the consumer information within ten working days of the meeting with the consumer and notify the consumer of the decision.

3. The decision of Northeast Iowa Area Agency on Aging after the above review will be final, unless the status of the consumer changes.

**IV. AGENCY APPLICATION PROCESS**

**A. Agencies applying to be a vendor:**

Please refer to the online web form found at the following URL:

**B. NEI3A Funding Service Definitions Taxonomy** – Service definitions have been established for each type of service available. Compliance with the definitions is mandatory.

**C. Compliance** – NEI3A will audit all providers from time to time, either in the form of a desk audit or an on-site audit. Upon request, agencies must be able to provide the following:

* Proof of tax status
* Proof of insurance
* Documents detailing policies and procedures regarding confidentiality
* Documents detailing policies and procedures regarding audit standards
* Documents detailing policies and procedures regarding consumer grievances

**V. CONSUMER APPLICATION PROCESS**

The NEI3A Funding application is used on a case-by-case basis for NEI3A Funded consumers. The NEI3A Funding Application/Registration is designed for NEI3A staff to complete on behalf of persons requesting NEI3A Funding. A consumer or unregistered service provider may contact NEI3A to request a consideration for funding when individuals are not currently receiving services within the NEI3A case management program. The following are some guidelines to use when completing the application:

∙ Demographics/ General Information: please complete all information. When

documenting race, you may use abbreviations: A=African American; AI= American Indian; C=Caucasian; H=Hispanic; O=Other. Apt/ House: Please tell us whether consumer’s address is an apartment or a house. On the question of income, please list consumer’s monthly income. When documenting assets, please include all assets excluding ownership of house and car.

∙ Please mark if applicant is a Case Management consumer. If yes, document the name and agency of the care manager.

 ∙ Department of Human Services Information: please complete this box to the best of your knowledge.

∙ Health Information: please provide name of primary physician, phone and any pertinent health conditions.

 ∙ Assistance Requested: in this box, please document units of service and cost per unit for services which you are requesting funding. Please submit a bid if Home Repairs and Environmental Adaptations or Assistive Devices and Material Aide are requested. If there are more than five services, fill out an additional application.

∙ Dates requested for services: Please tell us what dates you are requesting NEI3A Funding for. Please note NEI3A Funding dollars do not pay for past bills or for dates prior to when the application was received.

∙ Permission given to contact support services: please indicate if consumer is willing to allow NEI3A & participating agencies to share information.

 ∙ An application that is not filled out in its entirety may delay services. All

applications not completed in their entirety will be returned for completion.

Please mail or fax completed NEI3A Funding Individual Consumer Purchase of Service Consumer Application/Registration to NEI3A Individual Funding Program, PO Box 388, Waterloo, IA 50704 or fax to 319-272-2878 for consideration.

The service agreement will be sent by NEI3A. This will serve as the notification of approved or denied services. The notification will be provided to the person who completed the application, service provider, and case manager within fifteen working days of when it was received by NEI3A Central Office. If guideline is not met, NEI3A personnel will provide documentation for reason of the delay. Service recommendations may be included on the service agreement when deemed appropriate by the NEI3A Funding Program.

**VI. SELECTION**

Once the application is correct, complete, and accurately submitted to NEI3A, providers will be selected on a case-by-case basis from the following criteria.

1. **Availability of Funds** – If funds are not immediately available for services, NEI3A will place the consumer on a waiting list prior to authorizing services to a provider.
2. **Service Delivery -** Providers will deliver services at levels specified by the Approved Service Agreement.

**C. Consumer’s Right to Choose Service Provider** – All consumers will be notified through the NEI3A Funding assessment and referral process that they can choose between service providers when there is more than one service provider in existence.

 When it is known that there is more than one service provider, the NEI3A Case Manager will notify the consumer of known existing service providers who are members of the NEI3A Funding provider pool and ask the consumer for the consumer’s preference in who the service provider will be. If the consumer and/or their representative identifies service providers who are not members of the NEI3A Funding provider pool, the NEI3A Funding Program and/or the Case Manager will assist the consumer in making the referral to those service providers and alternate funding sources.

**D. Ability to Provide Quality Services** – Quality service includes performance, consumer outcomes and accountability as monitored by the NEI3A Funding Program during their follow-up activities.

**E. Accessibility** – Considerations for choosing a provider include the geography area of service and ease of service delivery.

**F. Cost** – Selection is competitive and the NEI3A’s focus is on cost effectiveness, Consumer choice, and service plan.

**VII. REPORTING/PAYMENT SYSTEM**

Payment to providers for services is dependent on the timely submission of the Reimbursement Request for Individual Purchase of Service form and authorization given through the individual service agreement.

 **A.** **Request for Reimbursement**

Reimbursement requests are accepted by e-mail, mail, or fax.

 **B. Reimbursement Request for Individual Purchase of Service**

Providers receive payment for services on a monthly basis by submitting the Reimbursement Request for Individual Purchase of Service report to NEI3A for services provided. Reports must cover a one-month period – from the first day of the month through the last day of the month. **To receive payment, reports are due to NEI3A by the 15th day of the following month and must be complete and correctly filled in.** Payment will be issued within 30 working days following the approval. If the information submitted is incomplete or incorrect, payment will be delayed until the necessary corrections are submitted and approved for payment.

**Reimbursement Request for Individual Purchase of Service** – Please use one reimbursement form for each service. Reports for multiple Consumers can be completed on one form for the same services. Following are some guidelines to use when completing the reimbursement request:

* Agency information: Agency name, vendor number, service provided, and month/year are provided on each form.
* Consumer information: Provide county, consumer first and last name.
* Service information: Enter the number of units of service provided each day. Total the number of units provided for each consumer and for the agency. If reimbursement request is completed by computer, the program will total all units.
* Amount of request: Enter the total units of service provided and multiply by the rate. The service unit rate is provided on the form per the agency application. If reimbursement request is completed by computer, the program will total the amount of request.
* Signature: Sign the form on the far right side to authorize the request. When the form is completed by computer, type in the name of the person completing the form.

Please call Northeast Iowa Area Agency on Aging at any time should questions arise

regarding the billing process call or email NEI3A at loltrogee@NEI3A.org or (319) 874-6861 and ask for Lana.

Mail, Fax, or E-mail all Reimbursement Request for Individual Consumer Purchase of Service to --

Northeast Iowa Area Agency on Aging

NEI3A Funding Program

PO Box 388

Waterloo, IA 50704-0388

--OR--

E-Mail reimbursement requests to: loltrogge@NEI3A.org

-- OR--

Fax reimbursement requests to: 319-272-2455.