



HCW Policy and Procedures Updates



Presented by the Medicaid APD LTC Systems Policy Unit

Agenda

- Why is this New Cap Being Implemented?
- Operationalizing HCW Overtime Agreement (including Frequently Asked Questions)
- Implementing HCW and Consumer Rule Violations
- Answering HCW Questions Regarding OT
- Policy Analyst Contacts

Why is this New Cap Being Implemented?

We have been directed to limit overtime for HCWs to help APD stay within the available funding.

We are limiting OT by:

- Closely reviewing those receiving live-in services
 - Great job, by the way!
- Implementing and enforcing the hourly cap a HCW may work

APD-PT-16-032 Operationalizing HCW Overtime Agreement Highlights:

- HCWs that are were eligible for overtime payments earned from Jan 1-Aug 31, 2016 were retroactively issued checks on the last week of September 2016.
- OT payments for work from September 1, 2016 forward will be paid on the following pay period in which it occurred to ensure that OT calculations are correct.
 - For example:
 - The September 16-30 pay period has a pay date of October 18.
 - Any OT accrual from that pay period will pay on the following pay date of October 31. This payment is combined with the regular pay for October 1-15.
 - OT Payment is $\frac{1}{2}$ the HCW's average rate.
 - OT includes hours worked across systems (ODDS & MH).

FYI: 40 hours per week=176 per month. 50 hours per week=220 per month.

APD-PT-16-032 Operationalizing HCW Overtime Agreement Highlights:

40 Hour Cap, effective September 1, 2016:

- Any HCW that began work on or after June 1, 2016.
- Any HCW that worked prior to June 1, 2016 and their averaged hours between the months of March, April, and May 2016 is less than 40 hours per workweek.
- Prior to one of their consumers being assessed, the HCW may not increase their hours for any existing consumer or work for a new consumer if they are already above the cap.
- Enforcement of the cap occurs when either one of the HCW's consumers is assessed or their authorization goes below 40 hours per workweek.

FYI: 40 hours per week=176 per month. 50 hours per week=220 per month.

APD-PT-16-032 Operationalizing HCW Overtime Agreement Highlights:

50 Hour Cap, effective September 1, 2016:

- Any HCW that was working more than 40 hours per work week as averaged in the months of March, April, and May 2016 has a 50 hour per workweek cap.
- If the HCW is currently working above 50 hours per work week, they must reduce their hours to 50 or below when one of their consumers is assessed and a service plan is developed.
- Enforcement of the cap occurs when any of the HCW's consumers is assessed or their authorization goes below 50 hours per work week.

FYI: 40 hours per week=176 per month. 50 hours per week=220 per month.

APD-PT-16-032 Operationalizing HCW Overtime Agreement Highlights:

- These caps also apply if the HCW works for other programs (such as State Plan Personal Care for Mental Health or any provider service hours for the Office of Developmental Disability Services).
- Hours under the Independent Choices Program are not included.
- The HCW is responsible for ensuring they work within their established cap.
- Please note that the appropriate cap will apply to all HCWs by June 30, 2017.



FYI: 40 hours per week=176 per month. 50 hours per week=220 per month.

HCW Scenario

Let's use a scenario to see how this works. We will use a HCW with a provider number that ends in "25".

1. An assessment has been completed for a consumer and a new service plan needs to be developed. HCW "25" works for this consumer.
2. Next, we look up "Homecare Workers Approved to work 40+ Hours/Week List*". We searched through the list by using "Control F" and searching for the provider number. HCW "25" is on the list, so they have a 50 hour cap limit across all consumers.

*This list was provided to each field office. Please check with your manager if you are not sure how to access the list.

Homecare Workers Approved to work 40+ Hours/Week List

Provider #	Avg Hrs / wk	Cap
	43.39	50
	43.38	50
	43.38	50
	43.36	50
	43.36	50
	43.36	50
	43.35	50
	43.33	50
	43.33	50
25	43.32	50
	43.32	50
	43.32	50
	43.31	50
	43.31	50
	43.31	50
	43.31	50
	43.31	50
	43.30	50
	43.29	50
	43.29	50
	43.29	50
	43.27	50
	43.26	50

Reviewing SHHW:

How many hours can we authorize the HCW for our service plan? For the sake of our scenario, let's say the HCW was authorized 100 hours on the previous service plan and we are seeing if the same plan can continue or not. Let's review the HCW's hours from the previous month of September 2016.

1. In the Mainframe, we type in "SHHW,####25". Adding up the total amount of hours in September 2016 in the "Auth" and "Worked" column (131.5+89.5) comes out to 221 hours.
2. Looks like the HCW is slightly above the cap in September! The HCW will need to reduce their hours slightly in either the service plan you are developing or with a different consumer.

Staff need to attempt to not authorize above the HCW's cap. However, the HCW is responsible for working within their hourly cap.

SHHW 25 Homecare Worker

Prov Nmbr 25 Prov Name

<u>Mo/Yr</u>	<u>Auth</u>	<u>Worked</u>	<u>Curr Month</u>	<u>Prev Month</u>
201610	139.50	0.00	0.00	0.00
201609	131.50	89.50	0.00	0.00
201608	0.00	191.00	0.00	0.00
201607	0.00	191.00	0.00	0.00
201606	0.00	191.00	0.00	0.00
201605	0.00	191.00	0.00	0.00
201604	0.00	186.50	0.00	0.00
201603	0.00	190.00	0.00	0.00

"Auth" means they are authorized hours but either they haven't been claimed or they haven't been paid out.

"Worked" means we have paid those hours. Hours worked will reduce the hours authorized.

Reviewing ONIQ:

Who else is this HCW working for? Is the HCW already supposed to be working within their cap?

1. In the Mainframe, type in "ONIQ", then in the Provider field, "####25".
2. We see that the HCW is working for 4 consumers.
3. The "Begin Date" tells us when an ONGO started for a HCW/consumer. The "Begin Date" usually indicates an assessment was completed the month before (i.e. the 9/1/16 date means a new assessment was completed in August). We may double check by looking at the assessment date in Oregon ACCESS.

ONIQ	On-Going Voucher Authoriza		
Branch	Prime	Prov	25
Begin Dt	Expire Dt	Prime	Prov
09/01/2016	08/31/2017		25
09/16/2016	10/31/2016		25
04/16/2016	09/30/2016		25
04/16/2016	08/31/2016		25

We have determined that the cap hasn't been applied yet since an assessment has not occurred on September 2016 forward.

Frequently Asked Questions



- What if a consumer wants to hire a HCW on an ongoing plan?
 - The cap should be reviewed to make sure the HCW is permitted to work the additional hours. If the HCW is currently exceeding the cap, the hours may not be authorized for that HCW.

	Currently working above 50 hours	Currently working between 40.5-50 hours	Currently working 40 or less hours
40 Hour Cap	Reduce to 40 or less by next assessment	Reduce to 40 or less by next assessment	Ok
50 Hour Cap	Reduce to 50 or less by next assessment	Ok	Ok

Frequently Asked Questions



- What if the HCW works as a live-in and as an hourly?
 - The cap is applied to this HCW for *all* hours worked. For example, if they work two days a week as a live-in (32 hours) and 40 hours as an hourly, their hours worked for the week is 72.
 - The CM will need to reduce the hours on the hourly service plan for this HCW to either 8 hours ($40-32=8$) if they are not authorized more than 40 hours per workweek; OR 18 hours ($50-32=18$) if they are not authorized more than 50 hours per workweek.
 - The cap is not applied if the HCW only works as a live-in provider.

Frequently Asked Questions

- How are live-in respite hours considered?

	24 hour respite (16 hours paid)	Hourly respite (1-12 hours)
Hourly HCW	All hours worked count towards cap	All hours worked count towards cap
Live-in HCW	All Hours are not counted toward cap	All hours worked count towards cap

Frequently Asked Questions

- Can exceptions to the hourly cap still be requested?
 - Yes, the policy for exceptions has not changed. APD-PT-15-028 (Exceptions to limits on the 50 hour authorized hours a HCW may work) mainly applies with a couple of changes:
 - The cap may be 40 or 50 hours for the HCW; and
 - The cap is across all consumers instead of per consumer.
- If an exception is granted over the hourly cap, how does that affect the HCW if they work for more than one consumer?
 - The exception only applies to the one HCW/consumer relationship. That means the HCW may not work for any other consumer and any exception stops when they stop working for that consumer.

Frequently Asked Questions

- Can a one-time exception be granted for a workweek? For example, a HCW with a 40 hour cap worked 30 hours for one consumer and is asked to work 20 hours for another consumer for a one-time need?
 - In general, no exceptions for HCWs to work over the cap across consumers will be granted. A HCW that chooses to work above the cap may be issued a violation letter. In extreme emergencies, Central Office may allow an exception.
 - Staff do not need to actively monitor for this potential violation.

Frequently Asked Questions

- Do I need to make sure the HCW does not claim above their cap?
 - Staff need to do their best to not authorize a HCW above their cap when it comes to their monthly authorized hours. However, the HCW is ultimately responsible for ensuring that they do not exceed their weekly cap regardless of the number of hours authorized.
 - Staff are not required to audit vouchers to ensure the cap is not being violated.
 - Central Office will be determining which HCWs are violating the weekly cap and will be following up with those HCWs.

Frequently Asked Questions

- The cap applies across all programs (including programs operated by Aging and People with Disabilities, Mental Health and Office of Developmental Disabilities). How can I make sure the HCW isn't exceeding the cap if they work for other programs?
 - Staff do not need to verify any work being completed in other programs. This will be reviewed by Central Office staff.



Best Practices

- Let consumers know that their HCW may not be permitted to work more than 40 or 50 hours per week for all consumers (especially if the consumer has a high number of hours or the HCW works for multiple consumers).
- Consumers need to also understand that allowing the HCW to work above their authorized hours may result in not being able to have their HCW (unless a rep is appointed).
- Enforce the message with HCWs that they need to stay within their cap despite the number of hours they are authorized to work per pay period. HCWs need to recognize that multiple violations will result in termination of their provider number.

APD-PT-016-031, APD-PT-016-032, APD-IM-016-091:Implementing HCW and Consumer Rule Violations Highlights

- When a HCW claims more than their authorized hours on their voucher, the entire voucher must be sent to HCWVoucher.Issues@state.or.us.
- If you prior-authorized additional hours for the HCW, please make sure you narrate this as soon as possible.
- Violations of the authorized hours or the cap, will be tracked by Central Office. Central office will send warning letters (see APD-IM-016-091 for details).

APD-PT-016-031, APD-PT-016-032, APD-IM-016-091: Implementing HCW and Consumer Rule Violations Highlights

- A third violation against the HCW results in termination by Central Office.
- A third violation against the consumer results in not being able to receive in-home services by a HCW unless an appropriate representative is appointed.
- Central Office staff will notify case managers of action being taken.



APD-IM-16-090 Answering HCW Questions Regarding OT

The HCW calls and is wondering if their OT has been paid yet, or they are wondering how it was determined. What is the easiest way to determine this?

The last OT payment was paid through 9/3/16 (remember, OT is paid in workweeks, not by pay period). Let's mark this record to see which vouchers were used to calculate the OT payment (next slide).

Method 1:SOTI,provider#

SOTI Overtime Payment Summary

Prov: [redacted] Overtime Begin Date: 10/01/2014

Prov Name: [redacted]

Sel	Starting	Ending	Week	Hours/Min	Units	Amount	Prcs	Trans
—	08/28/2016	09/03/2016		76:11	76.18	371.38	36	
—	08/21/2016	08/27/2016		76:00	76.00	370.50	36	
—	08/14/2016	08/20/2016		76:18	76.30	371.97	36	
—	08/07/2016	08/13/2016		76:28	76.47	372.79	36	
—	07/31/2016	08/06/2016		77:05	77.08	375.76	36	
—	07/24/2016	07/30/2016		77:01	77.02	375.55	36	
—	07/17/2016	07/23/2016		77:01	77.02	375.55	36	

APD-IM-16-090 Answering HCW Questions Regarding OT

Selecting the record in SOTI brings us to SOTD. This indicates which payments were used to calculate the OT payment. Vouchers can be from different pay periods, different consumers, and even under different provider numbers (i.e. under a different program through Mental Health or Office of Developmental Disabilities). Selecting a record and hitting F11 will bring you to HINQ which shows you when the payment was made.

```
SOTD Overtime Payment Detail 10/05/
Prov: [redacted] Prov Name: [redacted] Check Date: 10/04/2016
OT Week: 08/28 - 09/03/2016 Total OT Hrs: 76.18 Total OT Billed: 371.38

Sel  Prov  Svc VCHR  Svc ICN  OT VCHR  OT-Hrs  OT-Rate  OT-Amt
-    [redacted] 2016411630 1016274232368-36 2016686408 32.63 4.8750 159.07
-    [redacted] 2016382654 1016274232367-36 2016686407 43.55 4.8750 212.31

MSG:
F3=Exit          F9=PRV HINQ  F10=SVC HINQ  F11=OT HINQ  F12=SOTI
```

APD-IM-16-090 Answering HCW Questions Regarding OT

Method 2: Through HINQ:

Look for the most recent "SERV END" date that ends on a Saturday. Select the record to confirm that it is an OT payment.

```
HINQ P, [redacted] In-home Service Claim List 10/05/2016
View Current N
```

VCH	PRCS	PRIM	RECIP	PROV	PROV	SERV	SERV	CHK	EFT	
NMBR	TRANS	ID	NAME	NMBR	NAME	BEG	END	DATE	REJ	PAID
16477949	30	[redacted]				161001	161015	000000		.00
16455677	30	[redacted]				160916	160930	000000		.00
16411630	36	[redacted]				160901	160915	160930		1770.75
16686408	36	[redacted]				160901	160903	161004		124.64
16686407	36	[redacted]				160828	160831	161004		166.36
16686406	36	[redacted]				160821	160827	161004		290.32
16382654	36	[redacted]				160816	160831	160930		1882.85

APD-IM-16-090 Answering HCW Questions Regarding OT

An OT payment is indicated by the OROT1 procedure code. However, this only shows part of the OT payment issued to the HCW. Hit "F6" to return to the SOTI screen as previously shown to view the total units paid.

```
HINV      P, [REDACTED] In-home Service Claim D
Upd 10/03/2016 RACF SJH0850U Not on file W
Cre 10/03/2016 RACF SJH0850U Not on file Msg
Vch Nmbr 16686408 Prcs Trans 36 Msg VCHR IN PAID
Vch Xref 00000000 Chk Date 16/10/04 Chk Nmbr 43

ICN 1016278220331 Pay Ref 00/00/00 Vch Adj N
X Ref (ICN) 00000000000000 BR 3417 Prnt 598B 16/
Prim Id [REDACTED] Prov Nmbr [REDACTED]
Recip Name [REDACTED] Prov Name [REDACTED]
Days Work Per Wk 7 Prov Addr
Svc Cat APD Prov Str 794
Lst Work 00/00/00 Prov City/ST
Compl Zip 972

Authorized
Beg 16/09/01 End 16/09/03
Units Rate Total
Proc Desc
OROT1 Overtime 32.63 4.8750 $159.07

F3=EXIT F6=SOTI F7=PRV F8=NXT F10=SVC F11=DTL F12=H
```


Policy Analyst Contacts:

Mat Rapoza

503-945-6985

Mathew.G.Rapoza@state.or.us

Ben Sherman

503-602-3471

Ben.C.Sherman@state.or.us

