

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

Source: [https://www.medicaid.gov/medicaid/section-1115-demo/demonstration-and-waiver-list/waivers\\_faceted.html](https://www.medicaid.gov/medicaid/section-1115-demo/demonstration-and-waiver-list/waivers_faceted.html)

| Waiver #      | Waiver Application                             | Appendix | Assurance                    | Sub-Assurance   | Performance Measure   |
|---------------|--|----------|------------------------------|---|---|
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of data reports specified in the agreement with the Medicaid agency that were submitted on time and in the correct format.   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of LOC determinations completed in time specified in the agreement with the Medicaid agency  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of service plans for new enrollees completed in time frame specified in the agreement with the Medicaid agency   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of critical incidents investigations completed within time frames specified in the agreement with the Medicaid agency  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of provider reviews conducted with the frequency required in the agreement with the Medicaid agency  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of quality assurance record reviews conducted each month as compared to what was specified in the agreement with the Medicaid agency   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of provider agreements/contracts that adhered to the states uniform agreement/contract requirements  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | A        | Administrative Authority     | NA  | Number and percent of new openings that have been allocated according to state policies and procedures  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.  | Number and percent of waiver claims reviewed that were submitted using the correct rate as specified in the waiver application  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.  | Number and percent of waiver service claims reviewed that were submitted for participants who were enrolled in the waiver on the date that the service was delivered  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.  | Number and percent of reviewed waiver service claims submitted for FFP that are specified in the participant's service plan   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | I        | Financial Accountability - b | The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.  | N/A   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of participant records reviewed where the participant (and/or family or legal guardian) received information/education about how to report abuse, neglect, exploitation and other critical incidents as specified in the approved waiver |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of participants (and/or legal guardians) reporting they received information/education in the prior year about how to report abuse, neglect, exploitation, and other critical incidents as determined by the state                       |
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| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of critical incident reviews/investigations that were initiated within required time frames as specified in the approved waiver  |
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| Waiver #      | Waiver Application                             | Appendix | Assurance              | Sub-Assurance   | Performance Measure  |
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| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of unexplained, suspicious and untimely deaths for which review/investigation resulted in the identification of preventable causes        |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of participants reviewed who received the coordination and support to access health care services identified in their service plan        |
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| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of complaints addressed within required time frame  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of experience/satisfaction survey respondents who reported that people take their things without asking                                   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of experience/satisfaction survey respondents who reported someone hit or hurt them physically  |
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| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - a | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.) | Number and percent of satisfaction survey respondents who reported they are not treated with respect and dignity   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - b | The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.  | N/A  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - c | The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.  | N/A  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | G        | Health and Welfare - d | The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.  | N/A  |

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|---------------|--|----------|-------------------------|---|--|
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | B        | Level of Care - a       | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and percent of new enrollees who had a level of care indicating need for institutional level of care prior to receipt of services   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | B        | Level of Care - b       | The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.   | Number and percent of waiver participants who received an annual redetermination of eligibility within 12 months of their last   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of participants' level of care determinations forms/instruments that were completed as required by the state  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinations made by a qualified evaluator   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinations made where the LOC criteria was accurately applied  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications, by type, for which the provider obtained appropriate licensure/certification in accordance with State Law and waiver provider qualifications prior to service provision |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications for which appropriate background and registry checks, as required by the state/waiver, were conducted  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of providers, by provider type, continuing to meet applicable licensures/certification following initial enrollment   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of agency providers whose direct support staff had timely criminal background and registry checks   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent non-licensed/non-certified provider applicants, by provider type, who met initial waiver provider qualifications  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent of non-licensed/non-certified providers, by provider type, who continue to meet waiver provider qualifications  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent of DSP workers screened by the FMSA who passed background and registry checks and thus deemed eligible for hire   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | C        | Qualified Providers - c | The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.                           | Number and percent of providers, by provider type, meeting provider training requirements  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - a        | Service plans address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.     | Number and percent of participants reviewed who had service plans that were adequate and appropriate to their needs as indicated in the assessment   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - a        | Service plans address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.     | Number and percent of participants reviewed whose service plans had adequate and appropriate strategies to address their health and safety risks as indicated on the assessment  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - a        | Service plans address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.     | Number and percent of service plans that address participants' goals as indicated in the assessment  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - a        | Service plans address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.     | Number and percent of participant experience/satisfaction survey respondents who reported unmet needs  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plan development activities that are completed as described in the waiver application in Appendix D-1d: "Service Plan Development Process."  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plans that have been developed by the appropriate individual as identified in the waiver document  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plans that included the participation of all individuals identified in the waiver document   |

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| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans where development was achieved timely as indicated in the waiver document  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that follow state requirements   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that coordinate waiver services with nonwaiver services  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that provide assignment of responsibilities to implement and monitor the plan  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - c             | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant's needs.                                 | Number and percent of service plans that were reviewed, and revised as warranted, on or before waiver participants' annual review date   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - c             | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant's needs.                                 | Number and percent of waiver participants reviewed whose service plans were revised, as needed, to address changing needs  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - d             | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan. | Number and percent of participants' reviewed who received services in the type, amount, frequency and duration specified in the service plan   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - d             | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan. | Number and percent of participant survey respondents reporting they received all the services in their plan  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of waiver participant records reviewed with an appropriately completed and signed freedom of choice form that specified choice was offered between institutional care and waiver services |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of participant records reviewed with an appropriately completed and signed freedom of choice form that specifies choice was offered among waiver services and providers                   |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of participants whose records documented that a list of waiver services and providers was provided to and discussed with, the waiver participant  |
| AL.0407.02.02 | ACT Waiver-Alabama Community Transition Waiver                               | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of participants reviewed whose records indicated they were offered a choice of the service options included in the approved waiver (choice of traditional or participant directed)        |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | A        | Administrative Authority     | NA   | Number and percent of provider agreements/contracts that adhered to the states uniform agreement/contract requirements.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | A        | Administrative Authority     | NA   | Number and percent of quality assurance record reviews conducted each month as compared to what was specified in the agreement with the Medicaid Agency.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | A        | Administrative Authority     | NA   | Number and percent of new openings that have been allocated according to state policies and procedures.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | A        | Administrative Authority     | NA   | Number and percent of data reports specified in the agreement with the Medicaid Agency that were submitted on time and in the correct format.  |
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| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | I        | Financial Accountability - a | N/A           | Number and percent of reviewed waiver service claims submitted for FFP that are specified in the participant's service plan.   |
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| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | G        | Health and Welfare - a       | N/A           | Number and percent of participants with appropriate backup/evacuation plans in place.  |

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| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | B        | Level of Care - b       | The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.   | Number and percent of waiver participants who received an annual redetermination of eligibility within 12 months of their last.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinatins made by a qualified evaluator.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | B        | Level of Care - c       | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and percent of LOC determinations made where the LOC criteria was accuratley applied.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | B        | Level of Care - c       | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and percent of participants' level of care determinations forms/instruments that were completed as required by the state.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications for which appropriate background and registry checks, as required by the state/waiver were conducted.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of providers continuing to meet applicable licensures/certification following initial enrollment.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of agency providers whose direct support staff had timely criminal background and registry checks.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications, by type, for which the provider obtained appropriate licensure/certification in accordance with state law and waiver provider qualifications prior to service provision. |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent of non-licensed/non-certified providers, by provider type, who continue to meet waiver provider qualifications.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent non-licensed/non-certified providers applicants, by provider type, who met initial waiver provider qualifications.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent of DSP workers screened by the FMSA who passed background and registry checks and thus deemed eligible for hire.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | C        | Qualified Providers - c | The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.                           | Number and percent of providers, by provider type, meeting provider training requirements.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of participant experience/satisfaction survey respondents who reported unmet needs.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of participants reviewed whose service plans had adequate and appropriate strategies to address their health and safety risks as indicated on the assessment.  |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of participants reviewed who had service plans that were adequate and appropriate to their needs as indicated in the assessment.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of service plans that address participants goals as indicated in the assessment.   |
| AL.0068.06.00 | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plans that included the participation of all individuals identified in the waiver document.   |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

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| Waiver #       | Waiver Application   | Appendix | Assurance                | Sub-Assurance  | Performance Measure   |
|----------------|--|----------|--------------------------|--|---|
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - b         | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plan development activities taht are completed as described in the waiver application in Appendix D-1d: "service plan development process."                                     |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - b         | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that follow state requirements.   |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - b         | The State monitors service plan development in accordance with its policies and procedures.  | Numner and percent of service plans that coordinate waiver services with nonwaiver services.  |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - b         | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that have been developed by the appropriate individual as identified in the waiver document.  |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - c         | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant s needs.                                 | Number and percent of waiver participants reviewed whose service plans were revised, as needed, to address changing needs.  |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - c         | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant s needs.                                 | Number and percent of service plan that were reviewed, and revised as warranted, on or before waiver participants' annual review date.  |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - d         | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan. | Number and percent of participant survey respondents reporting they received all the services in their plan.  |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - d         | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan. | Number and percent of participants' reviewed who received services in the type, amount, frequency and duration specified in the service plan.   |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - e         | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of waiver participant records reviewed with an appropriately completed and signed freedom of choice form that specified choice was offered between institutional care and waiver services. |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - e         | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of participants reviewed whose records indicated they were offered a choice of the service options included in the approved waiver (choice of traditional or participant directed).        |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - e         | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of participants whose records documented that a list of waiver services and providers was provided to and discussed with, the waiver participant.  |
| AL.0068.06.00  | Alabama Home and Community -Based Waiver for the Elderly and Disabled Waiver                 | D        | Service Plan - e         | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.                   | Number and percent of participant records reviewed with an appropriately completed and signed freedom of choice form that specifies choice was offered among waiver services and providers.                   |
| AL.40382.02.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | A        | Administrative Authority | NA   | Number and percent of critical incidents investigations completed within time frames specified in the agreement with the Medicaid Agency  |
| AL.40382.02.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | A        | Administrative Authority | NA   | Number and percent of service plans for new enrolles completed in time frame specified in the agreement with the Medicaid Agency  |
| AL.40382.02.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | A        | Administrative Authority | NA   | Number and percent of quality assurance record reviews conducted each month as compared to what was specified in the agreement with the Medicaid Agency   |
| AL.40382.02.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | A        | Administrative Authority | NA   | Number and percent of provider agreements/contracts that adhered to the states uniform agreement/contract requirements  |
| AL.40382.02.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | A        | Administrative Authority | NA   | Number and percent of LOC determinations completed in time specified in the agreement with the Medicaid Agency.   |
| AL.40382.02.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | A        | Administrative Authority | NA   | Number and percent of provider reviews conducted with the frequency required in the agreement with the Medicaid Agency  |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

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| Waiver #           | Waiver Application   | Appendix | Assurance                    | Sub-Assurance | Performance Measure   |
|--------------------|--|----------|------------------------------|---------------|---|
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | I        | Financial Accountability - a | N/A           | Number and percent of waiver service claims reviewed that were submitted for participants who were enrolled in the waiver on the date that the service was delivered  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | I        | Financial Accountability - a | N/A           | Number and percent of waiver claims reviewed that were submitted using the correct rate as specified in the waiver application  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | I        | Financial Accountability - a | N/A           | Number and percent of reviewed waiver service claims submitted for FFP that are specified in the participant's service plan   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of satisfaction survey respondents who reported they are not treated with respect and dignity  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of critical incident review/investigations that were initiated within required time frames as specified in the approved waiver   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of critical incident reviews/investigations that were completed within required time frames as specified in the approved waiver  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of substantiated complaints  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of experience/satisfaction survey respondents who reported someone hit or hurt them physically   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of critical incidents requiring review/investigation where the state adhered to the follow-up methods as specified in the approved waiver  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of complaints addressed within required time frame   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of satisfaction survey respondents who reported that the workers were not doing a good job.  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of unexplained, suspicious and untimely deaths for which review/investigation resulted in the identification of preventable causes   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of participants reviewed who received the coordination and support to access health care services identified in their service plan   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of satisfaction survey respondents who reported they do not feel safe when they live   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of experience/satisfaction survey respondents who reported that people take their things without asking  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of participants (and/or legal guardians) reporting they received information/education in the prior year about how to report abuse, neglect, exploitation, and other critical incidents as determined by the state                       |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of critical incidents that were reported within the required time frames as specified in the waiver  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | G        | Health and Welfare - a       | N/A           | Number and percent of participant records reviewed where the participant (and/or family or legal guardian) received information/education about how to report abuse, neglect, exploitation and other critical incidents as specified in the approved waiver |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

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| Waiver #           | Waiver Application   | Appendix | Assurance               | Sub-Assurance   | Performance Measure  |
|--------------------|--|----------|-------------------------|---|--|
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | B        | Level of Care - a       | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and percent of new enrollees who had a level of care indicating need for institutional level of care prior to receipt of services   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | B        | Level of Care - b       | The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.   | Number and percent of waiver participants who received an annual redetermination of eligibility within 12 months of their last redetermination   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinations made where the LOC criteria was accurately applied  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinations made by a qualified evaluator   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | B        | Level of Care - c       | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of participants' level of care determinations forms/instruments that were completed as required by the state  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of agency providers whose direct support staff had timely criminal background and registry checks   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications, by type, for which the provider obtained appropriate licensure/certification in accordance with State Law and waiver provider qualifications prior to service provision |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications for which appropriate background and registry checks, as required by the state/waiver, were conducted  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of providers, by provider type, continuing to meet applicable licensures/certification following initial enrollment   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | N/A  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | C        | Qualified Providers - c | The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.                           | Number and percent of providers, by provider type, meeting provider training requirements  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - a        | Number and percent of providers, by provider type, meeting provider training requirements   | Number and percent of service plans that address participants' goals as indicated in the assessment  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - a        | Number and percent of providers, by provider type, meeting provider training requirements   | Number and percent of participants reviewed who had service plans that were adequate and appropriate to their needs as indicated in the assessment   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - a        | Number and percent of providers, by provider type, meeting provider training requirements   | Number and percent of participant experience/satisfaction survey respondents who reported unmet needs  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - a        | Number and percent of providers, by provider type, meeting provider training requirements   | Number and percent of participants reviewed whose service plans had adequate and appropriate strategies to address their health and safety risks as indicated on the assessment  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plans where development was achieved timely as indicated in the waiver document  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plans that provide assignment of responsibilities to implement and monitor the plan  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plan development activities that are completed as described in the waiver application in Appendix D-1d: "Service Plan Development Process."  |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

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| Waiver #           | Waiver Application   | Appendix | Assurance                    | Sub-Assurance  | Performance Measure  |
|--------------------|--|----------|------------------------------|--|--|
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that coordinate waiver services with nonwaiver services  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that included the participation of all individuals identified in the waiver document   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that have been developed by the appropriate individual as identified in the waiver document  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - b             | The State monitors service plan development in accordance with its policies and procedures.  | Number and percent of service plans that follow state requirements   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - c             | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant's needs.   | Number and percent of participant survey respondents reporting they received all the services in their plan  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - c             | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant's needs.   | Number and percent of service plans that were reviewed, and revised as warranted, on or before waiver participants' annual review date   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - c             | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant's needs.   | Number and percent of waiver participants reviewed whose service plans were revised, as needed, to address changing needs  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - d             | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.                             | Number and percent of participants' reviewed who received services in the type, amount, frequency and duration specified in the service plan   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.   | Number and percent of participants reviewed whose records indicated they were offered a choice of the service options included in the approved waiver  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.   | Number and percent of participants whose records documented that a list of waiver services and providers was provided to and discussed with, the waiver participant  |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.   | Number and percent of participant records reviewed with an appropriately completed and signed freedom of choice form that specifies choice was offered among waiver services and providers                   |
| AL.40382.0<br>2.00 | Home and Community Based Services Waiver for Individuals with HIV/AIDS and Related Illnesses | D        | Service Plan - e             | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.   | Number and percent of waiver participant records reviewed with an appropriately completed and signed freedom of choice form that specified choice was offered between institutional care and waiver services |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | A        | Administrative Authority     | NA   | Number and Percent of data reports specified in the agreements, policies and procedures with the Medicaid Agency that were submitted on time and in the correct format.                                      |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered. | Number and percent of claims coded as specified in the waiver application.   |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | I        | Financial Accountability - b | The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.   | Number and percent of claims audited for waiver costs according to the cost settlement process. This process also determines if the rates remain consistent for the waiver year.                             |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                   | Number and percent of critical incidents, by type, investigated and completed within the time frame specified with the agreement with Medicaid.  |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                   | Number and percent of survey respondents who reported their health and safety needs are being met in the home.   |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                   | Number and percent of record reviews that was addressed or investigation by Medicaid using data forwarded from the Operating Agency.   |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | G        | Health and Welfare - b       | The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.   | Number and percent of investigations closed effectively and resolved within 60 days. Percent equals the number of incidents closed within 60 days divided by the number of investigations.                   |
| AL.0241.05.<br>00  | SAIL Waiver Renewal  | G        | Health and Welfare - c       | The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.                                     | Number and percentage of records reviewed where alternative procedures were implemented appropriately instead of restrictive interventions.  |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

Source: [https://www.medicaid.gov/medicaid/section-1115-demo/demonstration-and-waiver-list/waivers\\_faceted.html](https://www.medicaid.gov/medicaid/section-1115-demo/demonstration-and-waiver-list/waivers_faceted.html)

| Waiver #      | Waiver Application                   | Appendix | Assurance                | Sub-Assurance   | Performance Measure  |
|---------------|--------------------------------------|----------|--------------------------|---|--|
| AL.0241.05.00 | SAIL Waiver Renewal                  | G        | Health and Welfare - d   | The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.                      | Number and percent of service providers who successfully complete the annual refresher training which include a session on abuse, neglect, mistreatment, and exploitation.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | B        | Level of Care - a        | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and Percent of completed assessments for determining level of care submitted to the ADRS Regional Office within 60 days of initial contact with the applicant.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | B        | Level of Care - a        | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and Percent of all new enrollees who have a level of care indicating need for nursing facility level of care, prior to the receipt of services.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | B        | Level of Care - b        | The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.   | Number and percent of waiver participants who received an annual redetermination of eligibility within 12 months of their last annual level of care evaluation.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | B        | Level of Care - b        | The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.   | Number and percent of eligibility re-evaluations begun at least 30 days prior to the annual redetermination date.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | B        | Level of Care - c        | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and Percent of participants Level of Care determinations forms were completed as required by the Medicaid Agency.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | B        | Level of Care - c        | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and Percent of LOC determinations made where the LOC criteria was accurately applied.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | C        | Qualified Providers - a  | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and Percent of providers, by provider type, continuing to meet applicable licensure/certification following initial enrollment.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | C        | Qualified Providers - a  | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and Percent of new waiver providers applications, by provider type , for which providers obtained appropriate licensure/certification in accordance with state law and waiver provider qualifications prior to the service provision. |
| AL.0241.05.00 | SAIL Waiver Renewal                  | C        | Qualified Providers - a  | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of providers, by type, who performed required background, registry, and provider exclusion database checks.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | C        | Qualified Providers - b  | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and Percent of non-licensed/non-certified providers, by type who met initial waiver provider qualifications.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | C        | Qualified Providers - c  | The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.                           | Number and Percent of providers, by provider type, meeting state-required provider training requirements.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - a         | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of waiver participants who have person-centered service plans that are appropriate to their needs as indicated in the assessment.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - b         | The State monitors service plan development in accordance with its policies and procedures.   | Percent of participants whose service plans were developed by the type of personnel specified in the SAIL waiver.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - c         | Service plans are updated/ revised at least annually or when warranted by changes in the waiver participant's needs.  | Number and Percent of service plans reviewed and revised before the participant's annual review date or when needs change.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - d         | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.  | Number and percent of participant experience/satisfaction survey respondents reporting the receipt of all services in the service plan.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - d         | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.  | Number and percent of waiver participants who received services in the type, amount, frequency and duration specified in the service plan.   |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - e         | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.  | Number and percent of waiver participants whose record contains an appropriately completed and signed freedom of choice from that specifies choice was offered among waiver services providers.  |
| AL.0241.05.00 | SAIL Waiver Renewal                  | D        | Service Plan - e         | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.  | Number and percent of waiver participants whose records contain an appropriately completed and signed freedom of choice form that specifies choice was offered between institutional care and waiver services.                               |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | A        | Administrative Authority | NA  | Number and percent of data reports specified in the agreement with the Medicaid Agency that were submitted on time and in the correct format.  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | A        | Administrative Authority | NA  | Number and percent of LOC determinations completed in time specified in the approved waiver.   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | A        | Administrative Authority | NA  | Number and percent of service plans for new enrollees completed in time frame specified in the agreement with the Medicaid Agency.   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | A        | Administrative Authority | NA  | Number and percent of critical incidents investigations completed within time frames specified in the agreement with the Medicaid Agency.  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | A        | Administrative Authority | NA  | Number and percent of quality assurance record reviews conducted each month as compared to what was specified in the agreement with the Medicaid Agency.   |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

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| Waiver #      | Waiver Application                   | Appendix | Assurance                    | Sub-Assurance   | Performance Measure   |
|---------------|--------------------------------------|----------|------------------------------|---|---|
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | A        | Administrative Authority     | NA  | Number and percent provider agreements/contracts that adhered to the states uniform agreement/contract requirements.  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.            | Number and percent of waiver claims reviewed that were submitted using the correct rate as specified in the waiver application.   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.            | Number and percent of failed MMIS edit checks performed to determine whether the submitted waiver claims were valid as measured by whether the participant had a valid LOC on the date of service               |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | I        | Financial Accountability - a | The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.            | Number and percent of reviewed waiver service claims submitted for FFP that are specified in the participants service plan  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | I        | Financial Accountability - b | The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.  | N/A   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of participant records reviewed where the participant received information/education about how to report abuse, neglect, exploitation and other critical incidents                           |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of critical incidents that were reported within required time frames as specified in the approved waiver.  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of critical incidents requiring review where the state adhered to the follow-up methods as specified in the approved waiver.   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of unexplained, suspicious and untimely deaths for which review resulted in the identification of preventable causes.  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of complaints addressed within required time frames.   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of survey respondents who reported that they do not feel safe where they live.   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - a       | The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.                              | Number and percent of survey respondents who reported that they are not treated with respect and dignity.   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - b       | The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.              | N/A   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - c       | The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.  | N/A   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | G        | Health and Welfare - d       | The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.                      | N/A   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | B        | Level of Care - a            | An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.  | Number and percent of new enrollees who had a level of care indicating need for institutional level of care prior to receipt of services  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | B        | Level of Care - b            | The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.   | Number and percent of waiver participants who received an annual redetermination of eligibility within 12 months of their last LOC evaluation.  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | B        | Level of Care - c            | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of participants' LOC determinations that were completed as required by the state   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | B        | Level of Care - c            | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinations made by a qualified evaluator  |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | B        | Level of Care - c            | The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.                  | Number and percent of LOC determinations made where LOC criteria was accurately applied   |
| AL.0407.02-02 | Technology Assisted Waiver-TA Waiver | C        | Qualified Providers - a      | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of new provider applications for which the provider obtained appropriate licensure/certification in accordance with State Law and waiver provider qualifications prior to service provision. |

Summary of Alabama Medicaid's 1915(c) Waiver Assurances

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| Waiver #      | Waiver Application                   | Appendix | Assurance               | Sub-Assurance   | Performance Measure  |
|---------------|--------------------------------------|----------|-------------------------|---|--|
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | C        | Qualified Providers - a | The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services. | Number and percent of providers continuing to meet applicable licensures/certification following initial enrollment.   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent non-licensed/non-certified provider applicants who met initial waiver provider qualifications   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | C        | Qualified Providers - b | The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.   | Number and percent of non-licensed/non-certified providers who continue to meet waiver provider qualifications   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | C        | Qualified Providers - c | The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.                           | Number and percent of providers meeting provider training requirements   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of participants reviewed who had service plans that were adequate and appropriate to their needs as indicated in the assessments.                                   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of participants reviewed whose service plans had adequate and appropriate strategies to address their health and safety risks as identified in assessments.         |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of service plans that address participants' goals as indicated in the assessments.  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - a        | Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.    | Number and percent of participant experience/satisfaction survey respondents who reported unmet needs.   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plan development activities that are completed as described in the waiver application  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of services plans that were developed following approved waiver specifications  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - b        | The State monitors service plan development in accordance with its policies and procedures.   | Number and percent of service plans where waiver services are coordinated with non-waiver services in accordance with the approved waiver  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - c        | Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.   | Number and percent of service plans that were reviewed and revised as warranted, on or before participant's annual review date   |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - c        | Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.   | Number and percent of waiver participants reviewed whose service plans were revised to address changing needs  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - d        | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.  | Number and percent of participants reviewed who received services in the type, amount, frequency and duration specified in the service plan  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - d        | Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.  | Number and percent of participant survey respondents reporting they received all the services in their plan  |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - e        | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.  | Number and percent of waiver participant records reviewed with an appropriately completed and signed freedom of choice form offering waiver services vs. institutional services        |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - e        | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.  | Number and percent of waiver participant records reviewed with an appropriately completed freedom of choice form that specifies choice was offered among waiver services and providers |
| AL.0407.02.02 | Technology Assisted Waiver-TA Waiver | D        | Service Plan - e        | Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.  | Number and percent of participants whose records documented that a list of waiver services and providers was provided to and discussed with participant                                |