

DHHS ICF Transition Program Procedures

Education and Inreach - Group and Individual Education Sessions

- **Roles/Responsibilities and Expectations**
 - E&I staff are responsible for facilitating education sessions as outlined in [R414-510](#).
 - Function of ICF Facility and Individual Visits:
 - At every group and individual education session, E&I shall inform ICF residents, guardians and representatives in attendance about the option to tour and visit HCBS settings.
 - Interest in reviewing HCBS settings will be acted upon as soon as practical, arranging for tours and visits when requested by a resident, guardian and/or representative, including the opportunity to visit with former residents of ICF facilities.
 - E&I will coordinate with DSPD employed Peer Mentors in addition to guardian and family mentors to ensure ICF residents, guardians and representatives have the option to meet with and receive support. This will help provide information on lived experience as part of the E&I process.
 - Educational meetings will review a variety of topics including but not limited to individual choice, residential settings, the HCBS Settings rule, employment, transportation, medical services in HCBS, navigating Medicaid services in the community through an ACO, how individual finances will operate outside of the ICF and the understanding and reporting of discouragement.
 - Additional topics discussed will be based on input from various stakeholders, with a particular focus on feedback from ICF residents, guardians and representatives.
 - Facility-wide E&I group education sessions will be completed at a minimum of 4 times per year.
 - Timing, coordination, materials, any guest speakers from the community, including HCBS providers, and agenda will be developed by E&I and approved by LTSS leadership and reviewed with Peer Mentors.
 - Peer Mentors will be invited and encouraged to attend all group meetings.
 - E&I will advertise group meetings to ICF residents, their guardians and representatives through U.S. mail and electronically (where email addresses are known) and invite them to attend meetings.
 - Individual-specific visits will be completed at a minimum of semi-annually, but may occur more frequently depending on the individual circumstances.
 - Individual education sessions will be scheduled and coordinated separately by each E&I case manager.

- E&I will provide education about the transition program in a setting and manner responsive to individual preferences and appropriate to an individual's method of communication.
- In accordance with Title [75-2a-108](#), for an individual whom E&I staff are unable to identify interest in HCBS, a surrogate healthcare decision maker may assist in determining the level of interest in HCBS.
- E&I will utilize approved education materials during individual education sessions and allow these materials to help guide the discussion.
- When educating individuals with guardians, the guardian must consider the needs and wants of their ward. When there is disagreement between guardians and wards, regarding movement into HCBS, E&I staff will follow the procedures outlined in [R414-510-4](#). Unresolved disagreements will require the involvement of the Office of Public Guardian (OPG). OPG may, at its discretion, request the involvement of a court visitor to resolve these disagreements.
- If the need for mentoring is identified, E&I staff shall coordinate and schedule such assistance.

• **Discouragement**

- Active Discouragement
 - If E&I staff identify that an ICF administrator or staff member is actively discouraging an ICF resident, guardian or representative as defined in [R414-510-5](#) in their presence, when safe to do so, E&I should immediately address the discouragement and attempt to correct any misinformation being provided. The specific actions taken by E&I will be dependent upon the circumstances associated with the discouragement.
 - E&I staff shall report the discouragement and any action taken to icftransition@utah.gov, within one business day, and then record the incident in the Discouragement Log.
 - At the discretion of DIH, E&I may be asked to refer any discouragement that was addressed at the time it occurred to the Office of Licensing, Adult Protective Services and/or Child Protective Services.
- Reported Discouragement
 - When E&I staff become aware of any ongoing or previous discouragement perpetrated against an ICF resident, guardian or representative by an ICF administrator or staff member, E&I shall similarly report such incidents.
 - This includes reporting the discouragement to icftransition@utah.gov, within one business day, and then recording the incident in the Discouragement Log.
 - E&I must refer any unaddressed discouragement to the Office of Licensing and Adult Protective Services/Child Protective Services.

• **ICF Assignments and Individual caseloads**

- At least two E&I staff shall be assigned to all ICFs with more than 16 beds.

- Individual caseloads are then assigned in the Transition Database as follows:
 - When an individual admits to an ICF, the Resident Assessment team will alert the DIH Transition Manager when all eligibility verifications are complete including the 10A process.
 - The DIH Transition Manager verifies if the admit constituted a readmittance or was a new admit.
 - For all new admits, the DIH Transition Manager assures an education was provided and an approval submitted to the ICF.
 - Discrepancies will be reviewed with the DSPD Service Broker
 - Individuals newly admitted are then assigned to E&I staff dependent on a variety of factors including in which ICF the individual resides, current E&I caseload numbers and E&I availability.
- Changes to caseload assignment can be considered in accordance with individual preferences. In such cases, E&I will work with their direct supervisor for reassignments.
- If an individual on an E&I's caseload needs to be reassigned to another E&I staff or no longer resides in an ICF for any reason, including death, it is E&I responsibility once they become aware to send a notification to icftransition@utah.gov. The DIH Transition Manager will coordinate reassignments, and in the case of a discharge, verify claims data. If required, updated discharge dates based on claims data will be entered and a log note explaining the update will be added.
- It is E&I responsibility to ensure coverage of caseloads for planned leave. If unplanned leave occurs, the caseload will be temporarily assigned to remaining E&I during the absence.

Documenting Individual Education Sessions

- All education sessions will be tracked in the Transition Database. Unsuccessful attempts to meet with individuals or their representatives should also be documented in the database.
 - **Interactions vs Log Notes:**
 - **Interactions:** are considered conversations/communications that support and document an individual's choice in relation to the transition program. Example: "Jane indicated she is ready to transition into HCBS and looks forward to being closer to her family".
 - **Log Notes:** are considered conversations/communications that are important to the individual but are not related to the individual's choice on the transition program. Example: "*attempted to contact representative*"
 - **Do Not Contact requests:** If a guardian and/or individual clearly and strongly indicate they do not want to be contacted, the assigned E&I shall record this in the database, send the "No Contact" letter and report the request to icftransition@utah.gov.
 - **Documenting Status & Interaction Types**
 - **Interested in moving to HCBS:** Indicates a clear interest in transition without reservations or hesitation. If non-guardian representatives are opposed to transition or have concerns but the individual clearly prefers

HCBS, this option should still be selected. When this status is selected, E&I should follow the process outlined in the approved [E&I Process when ICF resident shows interest in HCBS](#)

- **Not interested:** Indicates a clear disinterest in waiver services.
 - **Undecided:** Verifies a genuine indecisiveness about transition.
 - **Interested in learning more:** Identifies interest in but not a full commitment to transition. This interaction type clarifies that more education and support are required and may also indicate that an individual wants additional time to follow up with family/representatives before solidifying interest in transition.
 - **Bad Contact Info Interaction:** Is to be used to document an interaction attempt in which we discover the contact information is incorrect. This interaction type should not be used more than once per case. Additional follow-up is required.
 - **Attempting to Contact Status:** This status would be appropriate with the above interaction or when you leave a voicemail. "Attempting to Contact" status should only be used when there has been no other previous status. *Example: Calling a number hoping to speak with John only to discover this is no longer John's number.*
- E&I will assist individuals who express an interest in being on the DSPD Waitlist to complete the Form 1-1 and refer to DSPD Intake staff. Completed Form 1-1's should be sent to DSPDIntake@utah.gov

Version Tracking

Date	Version Summary
9/10/2024	Initial Version Drafted
10/8/2024	LTSS Approved Final Draft Version
12/19/2024	Updated title to remove mention of Settlement
1/22/2024	LTSS Approved Revision