| UTAH DEPARTMENT OF HEALTH AND HUMAN SERVICES<br>DIVISION OF SERVICES FOR PEOPLE WITH DISABILITIES<br>POLICY AND PROCEDURES | |
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| **LSW INDIVIDUAL GOODS & SERVICES: GNS & GN1** | |

**RATIONALE:**
The intent of this policy is to establish guidelines for determining eligibility and for approving requests for individual goods and services under the Limited Supports Waiver.

Authorizing Code: 26B-6-403
Rule: NA
Forms: 295 CAPS

| Original Effective: | Revision: | Next Review Due: |
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| NA | 3/9/2026 | 3/1/2030 |

## I. DESCRIPTION

This policy establishes guidelines for division staff to follow when making determinations of eligibility and approval for individual goods and services in the Limited Supports Waiver (LSW). It ensures that decisions are made fairly, equitably, and in alignment with waiver requirements.

## II. DEFINITIONS

The following terms are defined for this policy as:

A. **Contract approvals and payment system (CAPS):** means the Division of Finance Administration (DFA) software system for managing contract approval and payment to providers.

B. **Division:** means the Division of Services for People with Disabilities, as defined in Section 26B-6-401.

C. **HCBS waiver (waiver):** means home and community-based services, which are long term services and supports provided to individuals in their homes or other community settings that satisfy the requirements of 42 CFR 441.301(c)(4) (2024).

D. **GNS/GN1:** means the service codes for billing for individual services, products, or supplies that provide direct remedial benefit to the Person, and support specific outcomes that are identified in the person-centered support plan.

E. **Person:** means an eligible individual receiving a division service, or who is on the waiting list.

F. **Request for approval (RFA):** means the procedure for a support coordinator to follow when submitting a request for a one-time payment through USTEPS.

G. **Support coordinator:** in this policy, means an employee of the division who assists with:
   1. assessing the need of a Person receiving division funding;
   2. completing written documentation of support;
   3. developing a service and support plan for a Person receiving division funding;
   4. monitoring the appropriate spending of a Person's annual budget;
   5. monitoring the health and welfare of the Person; and
   6. monitoring the quality of each service used by a Person receiving division funding.

H. **Utah System for Tracking Eligibility, Planning, and Services (USTEPS):** means the system for case management used by support coordinators and division staff.

I. **Waiver manager (WM):** means the division manager responsible for the LSW waiver, or their designee.

J. **Vendor:** means any individual or business that provides goods or services to a Person who receives LSW services.

## III. POLICY

Eligibility criteria.

A. GNS/GN1 are the service codes used to make purchases for individual goods and services on LSW.
   1. GNS is used for purchases made from a state vendor.
   2. GN1 is used for purchases made from a non-contracted vendor.

B. A GNS/GN1 request shall meet at least one of the following eligibility criteria in order to be considered for an RFA. The goods or services shall:
   1. promote integrated community involvement and engagement;
   2. provide resources to expand opportunities for self-advocacy;
   3. decrease the need for other Medicaid services;
   4. reduce reliance on paid supports; or
   5. be directly related to the health and safety of the Person in their home or community.

C. GNS/GN1 may only be requested when all of the following conditions are met.
   1. The Person is an LSW participant.
   2. The Person has limited or no resources to purchase the item or service through any other source.
   3. The GNS/GN1 is not provided through any other waiver services, the Medicaid State Plan, or by any other federal, state, or local source.
   4. There is documentation in USTEPS that other equivalent supports have failed to be sufficient for the Person or are no longer accessible to the Person.

D. The WM shall review the RFA and approve or deny it based on the eligibility criteria.

E. The WM shall contact the budget analyst to inform them to add the funding to

the proforma budget.

Further restrictions.

F. The following restrictions always apply.
    1. GNS/GN1 requests are limited to $2000 or less.
    2. The budget for GNS/GN1 is capped at $2000 per plan year. No single request shall exceed this cap, and cumulative requests shall also not exceed the cap.
    3. The $2000 budget is restricted to each plan year. No unspent funds shall carry forward to the next year.
    4. Requests for GNS/GN1 shall come in the form of RFAs (described below), and be approved by the WM and comply with division cost standards.
    5. Any purchase of items and services may not result in a rights restriction.

Exclusions

G. The following items and services may not be purchased:
    1. any GNS/GN1 that does not provide a direct support or remedial benefit to the Person;
    2. costs for items or services that are otherwise available to the participant through private insurance, the state Medicaid plan, a contracted provider, or through another state agency;
    3. vacation costs, including but not limited to travel, lodging, food, and entertainment;
    4. disposable single use household products including but not limited to food, personal hygiene items, etc.;
    5. ongoing fees associated with telecommunications devices and services;
    6. recurring housing-related expenses including but not limited to room and board, utilities, other housing costs, and any recurring expenses;
    7. costs for personal clothing and wardrobe that are not directly related to the Person's disability;
    8. discretionary cash including but not limited to payments for gratuities, fines, debts, donations or contributions, the purchase of gifts, gift certificates, or gift cards, for any purpose, or legal fees or advocate fees;
    9. costs for any items or services that are of general utility to the other members of a household; and
    10. any household appliances that may otherwise be accessed within the community, either with or without supports.

## IV. **PROCEDURE**

A. All GNS/GN1 requests shall be submitted through the RFA process and shall be approved by the WM prior to service delivery. Reimbursement shall only occur after services have been rendered. The support coordinator shall collect the required information in order to submit an RFA.

B. The support coordinator shall provide detailed documentation that explains how the GNS/GN1 meets the eligibility criteria for authorization.

C. Review and approval of the request shall be contingent upon the strength and

clarity of this supporting documentation.

RFA process for GNS/GN1

D. When a need arises for an GNS/GN1, the support coordinator shall discuss with the Person whether requesting the GNS/GN1 is appropriate.
    1. The support coordinator shall gather needed documentation and costs from the Person and their support team.
    2. The support coordinator shall obtain all required information to submit an RFA.

E. The support coordinator shall submit an RFA for the GNS/GN1 in USTEPS.

F. The WM shall review the request. The request and supporting documentation shall be reviewed in accordance with the eligibility criteria, restrictions, and exclusions listed in Section III.

G. If the WM denies the request, the denial shall be processed as a notice of agency action in USTEPS.

H. If the WM defers the request, it shall return to the support coordinator for additional information or edits. The request shall remain open and deferred until a decision of approval or denial is made.

I. If the WM approves the request, the support coordinator shall communicate the approval to the Person and authorize the vendor to render the service.
    1. The support coordinator shall verify that the vendor is in the CAPS system and ensure the vendor's mailing address is correct.
    2. If the vendor is not in the CAPS system, or does not have a state contract, a W-9 signed within the previous six months that has a current address and tax identification number shall be requested from the vendor.
    3. The support coordinator shall confirm a completed and signed W-9 is on record with the division if the Person is being reimbursed.
    4. The support coordinator shall collect the final invoice or receipt from the vendor confirming the purchase, service, or project was completed.
    5. Products ordered from Amazon are exempt from the W-9 requirement.

J. The support coordinator shall confirm a paid invoice or receipts are on record in USTEPS for each GNS/GN1 purchase for the Person.
    1. The support coordinator shall email the WM the final invoice.
    2. The WM shall use eSign to send the 295 CAPS form to the vendor and the Division of Finance Administration (DFA) staff for their required signatures.
    3. The division contracts specialist shall create the approval in CAPS.
    4. The DFA staff shall email the support coordinator with instructions on how to input the PCSP budget line item into USTEPS.
    5. The support coordinator shall input the PCSP budget line item into the Person's plan budget.
    6. After the service has been rendered, the DFA staff shall notify the payment technician to make the payment.
    7. The support coordinator shall confirm that the payment appears on the USTEPS expenditure report.