



Pat Quinn, Governor
State of Illinois

Charles D. Johnson, Director
Illinois Department on Aging

Community Care Program Standards for Emergency Home Response Services

September 2007

PART A. Demonstration Project Authority

In accordance with the authority granted by the Illinois Act on the Aging (20 ILCS 105/4.02), Part 240 of Title 89 of the Illinois Administrative Code, and the Home and Community-Based Services Waiver for the Elderly under Section 1915(c) of the federal Social Security Act, the Illinois Department on Aging is initiating a demonstration project for the provision of emergency home response services to eligible clients under the Community Care Program as part of its long-term plans for enhancement and expansion of the Community Care Program.

PART B. Service Definition

Emergency home response service (EHRS) is defined as a 24-hour emergency communication link to assistance outside the client's home for clients based on health and safety needs and mobility limitations. This service is provided by a two-way voice communication system consisting of a base unit and an activation device worn by the client that will automatically link the client to a professionally staffed support center. The support center assesses the situation and directs an appropriate response whenever this system is engaged by a client. The purpose of providing EHRS is to improve the independence and safety of clients in their own homes in accordance with the authorized plan of care, and thereby help reduce the need for nursing home care.

PART C. Incorporation By Reference

89 Ill. Adm. Code Part 240

Underwriters Laboratories safety standards for home health care signaling equipment, UL 1637 (edition date October 26, 1998)

Underwriters Laboratories safety standards for digital alarm communicator systems units, UL 1635 (edition date January 31, 1996)

Note: Any rules or regulations of an agency of the United States or of a nationally recognized organization or association that are incorporated by reference in this Part are incorporated as of the date specified, and do not include any later amendments or editions.

PART D. Provider Agency Certification

Any willing and qualified provider agency interested in the opportunity to execute a contractual agreement for EHRS under the Community Care Program shall comply with the following certification procedures:

- a) A provider agency requesting initial certification of qualifications for EHRS shall submit, in a form and manner prescribed by the Department, material documenting the ability to comply with the requirements in Part E and specifications set forth in Part F and Part G, plus any other administrative or operational information required by the Department. The Department shall review the material submitted and, if necessary, may request additional information and/or conduct an on-site inspection in order to determine compliance. If additional information is requested by the Department, the provider agency has 60 calendar days from the date of request to submit this information. After 60 days, the provider agency's request for certification of qualifications will be closed and all information must be resubmitted to the Department.
- b) Provider agencies will be notified in writing of the results of the certification request within 90 calendar days after the date all necessary material has been submitted to the Department, unless notified that additional time will be required due to operational needs. Those provider agencies determined by the Department to be qualified will be certified for a period of no more than three years and afforded the opportunity to execute a contractual agreement for EHR services.
- c) The Department shall conduct a recertification review on a randomly staggered basis of each EHRS provider agency with a valid contractual agreement no less frequently than every three years to determine continued compliance with qualifications. The Department shall notify each EHRS provider agency, in writing, at least 30 days prior to the review, to request the material required for the recertification review. Any EHRS provider agency interested in renewing its EHRS contractual agreement shall submit, in a form and manner prescribed by the Department, material documenting the continued ability to comply with the requirements in PART E and specifications set forth in Part F and Part G, plus any other administrative or operational information required by the Department. EHRS provider agencies will be notified in writing of the results of the recertification review within 60 calendar days after the date all requested material has been submitted to the Department, unless notified that additional time will be required due to operational needs. Those EHRS provider agencies determined by the Department to be qualified will be recertified for a period of no more than three years and afforded the opportunity to execute renewal of a contractual agreement for EHRS.
- d) Other factors which may influence initial certification or recertification of qualifications for EHRS include:
 - 1) pending or current Departmental on-notice or contract action for failure to adhere to contract requirements, including a history of contract non-compliance;
 - 2) notification by another governmental entity of similar contract actions or non-compliance;

- 3) legal notification of financial insolvency, criminal indictment or conviction, or other legal issues which, in the opinion of the Department, would make the award of a contract contrary to the best interests of the state;
 - 4) notification of service complaints by the Attorney General's office, the Better Business Bureau or other consumer protection organizations; or
 - 5) current EHRS provider agency is not in good standing with the Department.
- e) Any provider agency denied initial certification of qualifications or recertification for EHRS shall be afforded the opportunity to resubmit another request at any time to the Department.
- f) Contracts will be issued to qualified provider agencies on a schedule determined by the Department, but no more frequently than quarterly (i.e., January 1, April 1, July 1, or October 1).

PART E. Emergency Home Response Service Components

Specific service components for an EHRS provider shall include the following:

- a) provide a base unit and, when necessary, adaptive activation devices, together with all connectors, parts, and equipment necessary for installation, which can be used in a home by up to two clients with hearing, mobility, and visual impairments.
 - 1) Wireless adaptive activation devices (e.g., sip and puff, rocking lever switch, etc.) must be available when a client cannot physically activate the call button.
 - 2) The system must be useable by visually and hearing impaired clients through visual and audible indications of alarm activation.
 - 3) Adaptive activation devices shall be provided at no extra cost to the client.
- b) deliver the activation device to the client and install the base unit, including connection of a seizure line jack, into a functioning telephone system in the client's home within 15 calendar days from the date of referral. This service shall not be subcontracted and shall be completed by trained employees identified by picture ID with ID number which can be verified by the client.
- c) train the client and his or her designated emergency responders on the proper use of the base unit and activation device at the time of installation.

The training must include:

- 1) demonstration of use and maintenance of EHRS equipment;
- 2) explanation of the EHRS provider's services and response protocol;
- 3) information on the general care of the base unit and activation device;

- 4) instruction about the monthly testing of the base unit and how to transmit the test results to the support center; and
 - 5) providing the client with easy to understand written instructions in the use of EHRS devices, including how to report a malfunction of the equipment. These instructions shall also be available in Braille or tape recorded to meet the client's needs.
- d) assist the client in selecting and designating up to three (3) local emergency responders, which must be updated by the EHRS provider at least every six (6) months. Each responder will receive both verbal and written instructions from the provider;
 - e) obtain client/representative signature to document that the EHRS unit was delivered and installed and that instructions and demonstration were given and understood. A copy of this receipt must be sent to the Case Coordination Unit;
 - f) own and operate a support center to provide live monitoring on a continuous basis, direct an appropriate response whenever the EHRS system is activated, and provide necessary technical support for fault conditions, including a language line that provides interpreter service for at least 140 languages and communication facilitated by a teletypewriter (TTY) communication device for the deaf, as appropriate;
 - g) own and operate a back-up support center which provides all components specified in (f) above and operates on a separate power grid;
 - h) maintain adequate local staffing levels of qualified personnel to service necessary administrative activities, installation, in-home training, signal monitoring, technical support, and repair requests in a timely manner. A provider agency must have a written training program for personnel and be able to demonstrate staff qualifications;
 - i) in the event of a malfunction, repair or replace the base unit or activation device within 24 hours of receiving the malfunction report;
 - j) alert the client when electric power to the base unit has been interrupted (e.g., unplugged) and the unit is operating on a standby power source;
 - k) notify the Case Coordination Unit within one business day after activation of the base unit and work with the appropriate case manager to resolve service complaints from the client or emergency responder;
 - l) notify the Case Coordination Unit immediately if EHRS services cannot be initiated or must be terminated; and
 - m) maintain records in accordance with Part F relating to client referral and service statistics, including equipment delivery; device activation; client and responder training; signal monitoring and test transmission activity; equipment malfunction, repair, and replacement; power interruption alerts; and notification of the Case Coordination Units, plus billing and payment information, and personnel matters.

PART F. Administrative Requirements for Emergency Home Response Service Providers

- a) In order to qualify for certification under Part D, a provider agency must, to the satisfaction of the Department, meet the following administrative requirements for EHRS:
- 1) submit a request for certification of qualifications in the form and manner prescribed by the Department in Part D, including all required supporting compliance material or other information documenting its administrative and operational ability, and institute all necessary corrective action based on the outcome of any on-site inspection;
 - 2) document the legal structure under which it is organized to do business;
 - 3) provide a list of the directors, officers, or owners, as applicable to the provider agency;
 - 4) have a minimum of five years experience in business operations for providing EHRS consistent with the requirements set forth in Part E;
 - 5) document its written policies and procedures in compliance with the applicable administrative standards imposed on provider agencies under the Community Care Program set forth in Section 240.1510(a) of Title 89 of the Illinois Administrative Code;
 - 6) document its ability to comply with all applicable responsibilities imposed on provider agencies under the Community Care Program set forth in Section 240.1520 of Title 89 of the Illinois Administrative Code;
 - 7) submit audited financial reports from the last complete business fiscal year to prove it is fiscally sound as that term is defined in Section 240.160 of Title 89 of the Illinois Administrative Code;
 - 8) provide assurance that its business operations comply with the service, staffing, and training requirements imposed on provider agencies under Part E;
 - 9) provide assurance that its equipment and support center are in continual compliance with the technology requirements imposed on provider agencies under Part G;
 - 10) accept all correspondence from the Department and maintain adequate records for administration, audit, budgeting, evaluation, operation, and planning efforts by the Department in offering EHRS as a service through the Community Care Program, including:
 - A) records of all referrals, including the disposition of each referral;
 - B) client records, which shall include, but are not limited to:

- i) applicable forms as required by the Department;
 - ii) dates and times of all signaling, and the name of the emergency responder for each signaling;
 - iii) dates and times of all equipment tests; and
 - iv) disposition of all emergency signaling; and
- C) administrative records, including:
- i) service statistics;
 - ii) complaint resolution; and
 - iii) billing and payment information, plus the underlying documentation to support the units of service submitted to the Department for reimbursement;

These records shall be available at all times to the Department, the Department of Healthcare and Family Services, and the United States Department of Health and Human Services (HHS), and shall be maintained for a period of at least 3 years from the termination date of any contractual agreement with the Department; and

- 11) comply with all applicable Federal, State, and local laws, regulations, rules, service standards, and policies or procedures pertaining to the provider agency in its business operations and to the services provided under the Community Care Program.
- b) If a provider agency is not able to meet these administrative requirements, then the Department shall deny its request for a certification of qualifications under PART D.

PART G. Minimum Equipment Specifications for Emergency Home Response Service

- a) All EHRS equipment must be tested, approved, and listed to meet Underwriters Laboratories safety standards for home health care signaling equipment, UL 1637 (edition date October 26, 1998), and digital alarm communicator systems units, UL 1635 (edition date January 31, 1996), if applicable.
- b) All home units must be capable of signaling from both the activation device remote and the base unit.
- c) Activation device specifications.
 - 1) The activation device must be a portable and waterproof type of wireless remote configured with:

- A) a crystal or Surface Acoustic Wave (SAW) resonator controlled transmitter frequency for long-term reliability;
 - B) digital encoding capability for at least 10 combinations sufficient for high density situations;
 - C) a minimum transmission range of 300 feet;
 - D) an internal battery capable of operating as a power source for a minimum five (5) years;
 - E) a low battery charge signal; and
 - F) components certified as appropriate by the Federal Communications Commission under 47 CFR 15.
- 2) The activation device must be capable of conducting automatic battery testing and transmitting the results through the base unit to the support center on a regular basis
 - 3) An adaptive version of the activation device must be available which can be used by hearing, mobility, and visually-impaired clients.
- d) Base unit specifications.
- 1) The base unit must have:
 - A) an integrated unit that connects to either a rotary dial or touchtone telephone via a modular jack which does not interfere with the normal use of the telephone;
 - B) an Underwriters Laboratory (UL) approved plug as the connector to a standard residential electrical outlet for its power supply;
 - C) an appropriate connection for a seizure line jack so the support center can be signaled even in the event the telephone receiver is off its hook;
 - D) an easily identifiable “ready” light to verify whether or not the batteries on the activation device and base unit are charged;
 - E) an easily identifiable “confirmation” light which indicates when the support center has received a signal;
 - F) a battery that automatically charges whenever the base unit is powered and that maintains a charge for at least 12 hours whenever the electric power to the base unit is interrupted;
 - G) transmission capability to signal the support center if the base unit battery fails or has a low charge, or electric power to the base unit is interrupted;

- H) a configuration that allows signaling service through one base unit for up to two clients in a home;
 - I) microphone and speaker to enable two-way voice communication between the client's home and the support center. The support center must be able to control both the microphone sensitivity and speaker volume; and
 - J) appropriate certification by the Federal Communications Commission under 47 CFR 15 and 47 CFR 68.
- 2) The base unit must give both audible and visual confirmation of the signal status using digitized voice technology and lighting cues to help the client stay calm while waiting on his or her designated emergency responder or other appropriate response to the situation directed by the support center.
 - 3) The base unit must reattempt signaling on a regular basis until the support center confirms its receipt.
- e) Support center specifications.
- 1) The EHRS support center must have back-up monitoring capacity to take over all monitoring functions and handle all incoming emergency signals. The back-up monitoring center must be at a location different from the primary center, on a different power grid system and on a different telephone trunk line. It must have a back-up battery and electrical generating capacity as well as telephone line monitoring abilities.
 - 2) All EHRS support center and back-up center equipment, at a minimum, must:
 - A) monitor the EHRS system for the receipt of incoming signals from connected base units in clients' homes, including test transmissions and fault conditions, on a continuous basis;
 - B) have an audible and visual alarm for the notification of all incoming signals, including test transmissions and fault conditions;
 - C) direct an appropriate response within a minute of the receipt of a signal as an operational average without disrupting or terminating the connection to the base unit in the client's home, 24 hours a day, 365 days a year, including interpretation services and communication facilitated by a teletypewriter (TTY) communication device for the deaf;
 - D) provide technical support as required, 24 hours a day, 365 days a year;
 - E) identify each client and simultaneously record all communication between the client, support center, and responder, as applicable, for all signals, including test transmissions and fault conditions;
 - F) display, print, and archive the client identifier, date, time, communication, and response period for each incoming signal which must be maintained for at

least a three-year period of time for quality control and liability purposes;

- G) have an uninterruptible power supply (UPS) back-up which will automatically take over system operation in the event electric power to the support center is interrupted, other type of malfunction occurs, or repairs are needed. The back-up power supply must be sufficient to operate the entire system for a minimum of 12 hours;
- H) have separate and independent primary and back-up receivers, computer servers, databases, and other components to provide an uninterruptible monitoring system in the event of equipment malfunction;
- I) perform self-diagnostic testing for malfunctions in equipment in client homes and at the support center, and for fault conditions in the primary and back-up operating systems and power supply at the support center, which could interfere with receiving and responding to signals, such as non-operational receivers and transmitters, signals received with no communications, telephone line outages, power loss, etc.; and
- J) maintain appropriate certification by the Federal Communications Commission under 47 CFR 15 and 47 CFR 68.

PART H. Units of Service

Emergency Home Response Service (EHRS) providers executing a contractual agreement with the Department pursuant to PART D shall be uniformly reimbursed for the provision of EHRS at the rates established by the Department. The reimbursable units of EHRS shall be as follows:

a) Installation.

One unit for installation is the provider agency activity associated with installing the base unit in the client's home under PART I.

b) Monthly Service.

One unit for monthly service is the provider agency activity associated with providing EHRS to clients under PART I.

PART I. Reimbursement of Provider Agencies

a) Installation and Removal.

The Department shall pay a one-time installation fee at a fixed unit reimbursement rate established by the Department for the installation of the base unit in the client's home. The Department shall not pay any fee for expenses incurred by the EHRS provider if service could not be provided due to either the client's absence or the

client's refusal to admit the EHRS provider's employee into the home. The Department shall not pay any fee for removal of the base unit.

b) Monthly Service.

The Department shall pay a monthly service fee at a fixed unit reimbursement rate established by the Department for providing EHRS to clients. The Department shall not pay for the cost of maintaining telephone service for the client or any associated charges or fees.

PART J. Provider Contract Agreements

- a) For services as described in PART E, the Department will periodically execute contractual agreements with any provider agency issued a Certificate of Qualifications for Emergency Home Response Service under PART D.
- b) If a provider agency executes a contractual agreement for EHR services, the signature of its authorized representative serves as a certification that the provider agency will comply with each provision regarding services as well as applicable Federal, State, and local laws, regulations, rules, service standards, and policies or procedures pertaining to the Community Care Program, including the duty to report fraud and criminal or illegal acts under Section 240.1320 of Title 89 of the Illinois Administrative Code.
- c) The State of Illinois reserves the right to conduct performance reviews of a provider agency at any time during the term of a contractual agreement pursuant to Section 240.1660 of Title 89 of the Illinois Administrative Code. A finding of any type of service violation listed in Section 240.1650 may lead to the immediate suspension or termination of the contractual agreement under Section 240.1399 or a contract action against the provider agency under Section 240.1665 of Title 89 of the Illinois Administrative Code. A provider agency shall have a right to appeal in any such instance under Section 240.1661 of Title 89 of the Illinois Administrative Code.