



CABINET FOR HEALTH AND FAMILY SERVICES

Subject: Participant Directed Services
SOP Title: Case Management
Responsibilities
PDS-SOP-6.9

Issue Type: ☒ New ☐ Revised

Source(s) of Authority: N/A
Forms: N/A

Supersedes: N/A

Effective: 06/2026

Approval Date: 02/20/2026

Revision Date: N/A

PURPOSE

The Participant Directed Services (PDS) case management section describes the PDS responsibilities of the case manager. The goal of this section is to establish the minimum standards for case management agencies and case managers to understand and comply with all the PDS-specific case management functions, duties and responsibilities.

POLICY

General Responsibilities of a Case Manager

1. The main responsibilities of the case manager include the following:
 - a. Facilitating and coordinating the person-centered planning process (Refer to PDS-SOP 6.29);
 - b. Assessing services authorized for individuals receiving PDS and PDS/traditional blended services;
 - c. Coordinating services and community resources for the participant;
 - i. Case management activities include assisting participants in gaining access to waiver services and other needed services through the Medicaid State Plan and other non-Medicaid funded community-based programs to support the participant's home and community-based needs.
 - d. Monitoring direct care service(s) to ensure that the participant's health, safety and welfare are maintained;
 - e. Assisting with developing a Person-Centered Service Plan (PCSP), which shall include PDS and traditional services, if applicable, as well as an emergency back-up plan to be prepared in case a PDS worker is unable to provide services as scheduled;
 - i. The PDS service authorization of the services included in the participant's PCSP shall be based on needs and utilization supported by the assessment, and existing service limitations.
 - f. Conducting a monthly visit with the participant and PDS representative, if applicable (refer to PDS-SOP 6.28);
 - i. Monthly face-to-face visits with the participant are necessary to verify service delivery is in accordance with the participant's PCSP and is adequate to meet the participant's needs according to their assessment and regulation.
 - ii. Monthly face-to-face visits assist in monitoring the participant's health, safety, and welfare.
 - g. Creating and maintaining accurate and detailed documentation in case notes;
 - h. Verifying participant's Medicaid eligibility and applicable waiver eligibility monthly through the Kentucky Medicaid Management Information System (KYMMIS), Kentucky Health Net at <https://www.kymmisis.com>;
 - i. Assessing on a continuous basis the quality of services, safety of services, and cost effectiveness of services being provided to a participant;
 - j. Documenting, reporting, and working with direct service providers (where applicable) to resolve critical incidents;



CABINET FOR HEALTH AND FAMILY SERVICES

Subject: Participant Directed Services
SOP Title: Case Management
Responsibilities
PDS-SOP-6.9

- k. Requesting transition to traditional services and/or termination of waiver when situations warrant such action;
 - l. Issuing, monitoring, and resolving corrective action plans (refer to PDS-SOP 6.24);
 - m. Monitoring for and reporting of fraud, waiver program waste, and waiver program abuse; and
 - n. Working with other agencies to ensure minimal disruption to services when participants transfer between direct service providers, financial management agencies, and other case management agencies.
2. PDS case management responsibilities also include monitoring and assisting participants and PDS representatives, when applicable, which at a minimum include:
- a. Training the participant and/or PDS representative and providing technical assistance to the participant and/or PDS representative (refer to PDS-SOP 6.15);
 - b. Arranging or providing necessary support to participants as identified in the self-assessment, to offer needed assistance to execute employer authority;
 - i. Facilitating self-assessment of participant's support needs related to employer authority;
 - 1. Case managers are encouraged to use the PDS Employer Responsibilities Review Tool to assist the participant in understanding their responsibilities as the employer and determining their level of supports needs.
 - 2. Case managers can utilize the tool as a checklist to make sure all the appropriate services are in place to support the participant or PDS representative with their responsibilities as an employer.
 - c. Monitoring the participant's execution of employer authority and documenting any identified risks, challenges, and potential negative outcomes;
 - i. PDS employees must meet minimum eligibility requirements, use the Financial Management Agency (FMA) Agency Electronic Visit Verification (EVV), and provide PDS as outlined in the participant's Person-Centered Service Plan and per regulation requirements to receive payment for PDS.
 - ii. Case managers are responsible for working with the participant or PDS representative, when applicable, to identify any risks or challenges in meeting the requirements of PDS employer authority.
 - d. Developing and/or reviewing PDS in the PCSP, including monitoring of the effectiveness of PDS to advance person-centered goals and objectives and respond to changes in participant goals and objectives as supported by the participant's assessment;
 - e. Supporting selection of and providing on-going coordination between the participant and the chosen FMA;
 - i. The case manager shall provide the participant or PDS representative, when applicable, with PDS employee paperwork, coordinate and track initial and ongoing collection of the PDS employee paperwork with the participant or PDS representative, when applicable, and ensure the FMA has the mandatory paperwork necessary to provide payment to the participant's PDS employees, as outlined in PDS-SOP 6.21.
 - f. Monitoring of corrective action plans (refer to PDS-SOP 6.24); and
 - g. Ensuring all PDS documentation is captured and uploaded in the Medicaid Waiver Management Application (MWMA) prior to PDS service delivery and an ongoing basis.